OTCnet
Deposits Made Simple

Chapter 7: Capturing and Managing Checks Offline

OTCnet Participant User Guide

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Audience, Overview and Topics

Audience

The intended audience for the *Capturing and Managing Checks Offline Participant User Guide* includes:

- Check Capture Operator (Batch Approver/ Batch Uploader)

- Check Capture Lead Operator (Batch Approver/ Batch Uploader)

- Check Capture Supervisor

Overview

Welcome to *Capturing and Managing Checks Offline*. In this chapter, you will learn:

- The purpose of capturing and managing checks offline

- How to capture a check offline

- How to manage failed image quality

- How to resolve a duplicate check

- How to void a check

- How to verify a Local Verification Record (LVD)

- How to perform batch control and batch balancing

- How to view and print a batch list / item

- How to activate/deactivate a batch

- How to close a batch

- How to approve a batch

- How to upload a batch

- How to acknowledge a batch

- How to print a receipt

Topics

This chapter is organized by the following topics:

1. Purpose of Capturing and Managing Checks Offline

2. Capture a Check Offline

3. Manage Failed Image Quality

4. Resolve a Duplicate Check

5. Void a Check

6. Local Verification Record (LVD)

7. Perform Batch Control and Batch Balancing

8. View and Print a Batch List / Item

9. Activate/ Deactivate a Batch

10. Close and Batch

11. Approve a Batch

12. Upload a Batch

13. Acknowledge a Batch

14. Print a receipt

Topic 1. Purpose of Capturing and Managing Checks Offline

The Check Processing functionality is primarily used to capture images of a check along with transaction data. There are two components under this tab within OTCnet. They include the **Scan Check** and **Batch Management** functionality. Once the images and data are collected under **Scan Check**, a user may access **Batch Management** to perform certain tasks prior to forwarding the batch for settlement.

During check scanning, you may opt to use the **Batch Control** functionality which allows you to balance your batch. If this option is configured to be optional or mandatory for your agency, the *Batch Control* page appears during the processing of the check.

If you are assigned the role of **Check Capture Operator (CCO)** or **Check Capture Lead Operator (CCLO)**, you are the only authorized users who can capture a check.

As a **Check Capture Operator (CCO),** you can scan checks into a batch, change **Processing Method** (Customer Present/ Customer Not Present), change **Item Type** (Personal / Non-Personal checks), and view a batch list.

As a **Check Capture Lead Operator (CCLO)**, you can do the above, as well as close a batch, balance check amounts, and enter batch control values during batch closing. However, a **Check Capture Lead Operator** cannot authorize duplicates, make MICR corrections, or accept checks with poor quality. These tasks are reserved for the **Check Capture Supervisor (CCS)** (see Table 1 below for details).

As a **Batch Approver**, you have the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a **Check Capture Lead Operator (CCLO)** or **Check Capture Operator (CCO)** roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

As a **Batch Uploader**, you have the authorization to upload a batch from OTCnet Offline to the online database. The **Batch Uploader** permission must be applied to either a **Check Capture Lead Operator (CCLO)** or **Check Capture Operator (CCO)** role and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

Table 1. Check Capture/Processing and Batch Permission Matrix

Task	Check Capture Operator (CCO)	Check Capture Lead Operator (CCLO)	Check Capture Supervisor (CCS)
Scan checks into a batch	✔	✔	
Change Processing Method (Customer Present / Customer Not Present/ Back Office)	✔	✔	
Change Item Type (Personal/ Non-Personal checks)	✔	✔	
Make MICR codeline corrections			✔
Accept checks with poor image quality			✔
View a batch list	✔	✔	✔
Balance check amounts		✔	✔
Enter batch control values during batch closing		✔	✔
Close a batch	✔	✔	✔
Approve a batch	✔[1]	✔[1]	✔
Upload a batch	✔[2]	✔[2]	✔
Acknowledge a batch	✔[2]	✔[2]	✔
Edit a batch		✔	✔
Activate/ Deactivate a batch			✔
Void a check			✔

[1] = requires additional Batch Approver permission   [2] = requires additional Batch Uploader permission

Topic 2. Capture a Check Offline

Introduction to Capturing a Check

As a **Check Capture Operator (CCO)** or **Check Capture Lead Operator (CCLO)**, you can capture a check in two modes, single or batch check mode. Once a **Check Capture Administrator (CCA)** sets up your **Terminal Configuration** settings you are able to scan a check in **Single** or **Batch** check mode. There are many other settings that your **Check Capture Administer (CCA)** may have also instituted for your location. Many of which will be visible as you begin the check scanning process, as we will review in this Topic for *Capture a Check Offline*.

Logical Processing Order for Scanning a Check

When creating a batch it is important that the proper steps be taken to ensure that the batch reaches our system. Below is an outline of the logistic steps involved in creating a batch:

Batch Control – This function may or may not appear, based on the computer's configuration settings. If used, key in total dollar amount of checks and the total number of checks to be scanned. This function can be setup in the configuration as disabled, optional, or mandatory by the **Check Capture Administrator (CCA)**. If this option is disabled, the Batch control screen does not appear. If optional, the Batch control screen can be skipped.

If mandatory at Batch Create or Batch Close only, the user must enter the Batch Control values. However, if a user selects to set Batch Control value at both Batch Create and Batch Close, then it can only be deferred at the beginning of the batch. Batch control is required prior to closing a batch in this case.

Scan the check (or checks if processing in batch mode).

Key in amount and configurable field data for each check.

Cancel transactions while performing data entry, used only if necessary, i.e., image of the check is not legible.

Print the receipt – Just after the item information is keyed into the data entry screen, press 'Enter', then click the **Receipt** button to print a receipt of the item or items.

Void items – Used to delete invalid items only if necessary, prior to closing a batch if a **Check Capture Supervisor** is available to authorize the void. Once data entry has been performed and the **Enter** key is pressed on a user's keyboard, the item can no longer be cancelled and must be voided.

Print the Batch list – A printout of the batch listing must be done prior to closing a batch.

Pre-balance – Use the batch list that was just printed to reconcile all activity for this batch of work. If reconciling with cash drawers, count and reconcile to ensure activity is accurate.

Batch Balancing – This screen only appears if the totals that are keyed into the Batch Control screen do not match with what was actually keyed into the data entry screen, or if the number of checks scanned does not match the number keyed into the Batch Control screen.

Close – Closes the batch from further checks and prepared the batch for processing.

Approve - Indicates that the batch is ready for the settlement process. Once the batch is approved the batch status then becomes **Sent**.

Upload – Indicated that the batch(es) selected in the Batch Upload menu in OTCnet Offline have been successfully to the OTCnet Online server.

Acknowledge – Indicates the batch was transmitted and fully processed by the OTCnet Online server, without error.

An agency may have multiple **OTC Endpoints** to process checks for. Each **OTC Endpoint** is unique and batches can include items for multiple **OTC Endpoints**, however during the configuration set up, one **OTC Endpoint** is chosen to be the default. The default **OTC Endpoint** appears each time the **Check Capture Operator** or **Check Capture Lead Operator** begins the scanning process. However, they may select an alternate **OTC Endpoint** before scanning begins.

Types of Acceptable and Unacceptable Checks

Checks that CAN be processed through OTCnet's Check Processing Functionality

All of the items listed below can be processed through OTCnet's Check Processing Functionality.

These following check items should be processed as **Non-personal**:

- US Treasury Checks
- Traveler's Checks
- Money Orders (including Postal Money Orders)
- Third-party Checks (even if drawn on a personal account)
- State and Local Government Checks
- Credit card Checks
- 'Do not ACH' Checks
- Official Checks
- Business Checks
- Cashier's Checks
- Other US Government Checks
- Payroll Checks

Note: If a customer chooses to 'opt out' and does not want their checks to be processed via ACH, that customer's personal check should be processed as a non-personal item. This will allow the check to clear their financial institution as a Check 21 item.

The following item(s) should be processed as **Personal** check Items:

- Personal/Consumer Checks

List of Items that CANNOT be Processed through OTCnet's Check Processing Functionality

The following ineligible item(s) cannot be processed using OTCnet's Check Processing functionality and may need to be processed through the **Deposit Processing** tab within OTCnet instead:

- Foreign items drawn on non-US Financial Institutions
- Check payable in non-US currency

Note: Apply any necessary stamps in a location that does not interfere with the dollar amount, financial institution information, or the signature. Since these items are not deposited at your bank, there is no need to stamp "For Deposit Only" on the back of the check. FRB-Cleveland becomes the bank of first deposit for all OTCnet's Check Processing items scanned and forwarded for settlement.

Processing Modes

Single vs. Batch Processing Mode

Agencies can choose to process their checks in one of two processing modes. The **Single** check mode allows checks to be processed one at a time, and **Batch** processing mode allows for batches of checks to be scanned prior to data entry. The **Batch** mode processing only works with the EC7000i scanners and the Panini scanners.

When scanning in **Batch Processing Mode**, ensure that the entire check image is visible on the screen and the dollar amount must be legible (a check may successfully scan even though the item was folded going into the device). If the image is not legible, click **Cancel** under **Scanner Controls** and re-scan the check.

A best practice approach while scanning in Batch mode, is to scan a smaller quantity of items. For example, instead of scanning 150 items, scan 75. Then perform the data input. Scan the second group of 75 and perform the data input. Using the keyboard after the 75 items are scanned may eliminate the system inactivity logout during batch processing. Because the keyboard and mouse are typically not touched during the scanning process, the system interprets this as inactivity and an auto logout takes place. To avoid this situation, move the mouse every so often to simulate system activity during the scanning process. The default setting is 15 minutes so the operator should move the mouse every 10 minutes or so to keep the system active.

Note: The maximum number of items that should be included in one batch is 6,000 items, and the maximum dollar amount per batch is $9,999,999,999.99. The max number of items is also limited by the TIFF file.

All processing method types can exist within a batch, although usually Back Office processing types would be processed independently of other types. Not all agencies utilize all modes. Furthermore, a site may choose not to use all modes every day, due to fluctuation in check volume.

Processing Methods

Operators are able to choose the **Processing Method** to which they would like to scan checks. This option indicates the mode of operation. They include **Customer Present**, **Customer Not Present**, or **Back Office**.

The **Customer Present** method is used when the person is present, i.e., standing in front the operator with their check. The **Customer Not Present** method is used when the writer of the check is not present, i.e. when checks are received through the mail as payments.

The **Back Office** processing method allows Agencies to convert payments received at the point-of-sale locations to ACH entries in a controlled, back-office environment.

The default is to allow all Processing Methods and Item Types but restrictions can be setup to allow only the **Back Office** processing method or **Non-personal** items only. Operators need to make certain that they are selecting the proper choices for each item to avoid returned payments from the check writer's financial institution.

Before scanning, checks should be pre-sorted by **Customer present**, **Customer Not Present**, and **Back Office** prior to scanning. All processing method types can exist within a batch, although usually back offices processing types would be processed independently of other types. Not all agencies utilize all methods. Furthermore, your site may choose not to use all methods every day, due to fluctuation in check volume scanning a check.

Item Types

Before or after the check is scanned in Single mode, the user must choose the Item Type. For Batch mode scanning, a user cannot manually select **Personal** or **Non Personal**, the system will use the default (previously established in the configurations). During the scanning process, if the system detects an Item Type other than the established default, it will prompt the user for confirmation.

The choices are **Personal** or **Non Personal**. This indicates the type of item to be processed. When the operator clicks **Personal**, the Agency Form data entry screen displays, *Check: Personal*.

If the operator clicks **Non Personal**, the agency Form data entry screen displays, *Check: Non Personal*. OTCnet can process both personal and non personal checks within a batch. The operator needs to make certain that they are selecting the proper choices for each item. Presort all items into two groups (Personal and Non Personal) prior to scanning to avoid the pop-up

message indicating that it detected a different item type for the check. While most business checks are typically larger in size, business checks can look the same as personal checks.

Using OTCnet's **Terminal Configuration** functionality, authorized users can limit the Item Type to Non Personal only. When **Non Personal Only** is chosen under **Terminal Configuration**, the Item Type **Personal** is no longer available for the operator to choose from the drop-down options. This can be set up for Agencies who never process personal checks. For more information, please reach to your **Check Capture Administrator** or the Configuring Check Capture Participant User Guide.

Check Scanner Types and Check Placement

You agency may scan checks using one of four scanner types (see Table 2 below). Some scanners are designed to scan only in Batch mode, whereas others may only scan in Single mode. However, there are two scanner types that can scan checks in both modes.

Table 2. Scanner Types

EC7000i	This scanner will automatically scan both sides of a check and can scan in single or batch method (two or more checks in a batch)
EC6000i	This scanner will prompt you to scan the back side of a check and scans only in single method
EC5000i	This scanner will prompt you to scan both sides of a check and can scan only in single method
Panini MyVision X	This scanner will automatically scan both sides of a check and can scan only in batch method (one or more checks at a time)

EC5000i Scanner

Place the check in the left slot, with the MICR line of the check aligned on the bottom. The front of the check should face right (as shown in Figure 1 below).

Figure 1. EC5000i

EC6000i and EC7000i Scanner

Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner (shown in Figure 2 below). Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed. The scanner automatically pulls the check through to begin the scan.

Figure 2. EC6000i and EC7000i

Note: With the EC7000i scanner, both the front and the back of the check are scanned automatically. For additional scanning information or troubleshooting using an EC6000i / EC7000i scanners, reference Troubleshooting or RDM Participant User Guides. For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the RDM scanner chapter(s)

Panini Scanner

A user needs to ensure that the check or checks are already in the hopper of the scanner, front of the checks facing (as shown in Figure 3 below). The first green light on the scanner begins to flash (if applicable).

Once the hopper is empty, the *Hopper Empty* message appears, the user can add more checks to the hopper then click **Yes** to continue adding items to the batch. Or click **No** if there are no more checks to scan. When **No** is clicked, the system switches to the data entry phase and the first check that was scanned appears on the screen.

Figure 3. Panini Scanner

Note: Use caution when clicking the **Stop** button during batch mode processing. Pressing too quickly (before the scanner has a chance to catch up to the system) may cause the loss of the last transaction.

For additional information regarding scanners, keypads or franking, you can access any of the Participant User Guide Chapters below:

- *Chapter 9. Troubleshooting (for scanner/ imaging issues)*
- *Chapter 11. RDM Scanner Appendix*
- *Chapter 12. Panini Scanner Appendix*

Check Capture Acceptance

Once a user has successfully logged in to OTCnet Offline, selected the appropriate **OTC Endpoint** to scan a batch to, chosen the correct processing method and Item Type, the next step is to scan the check.

Click the **Start Scan** under **Scan Controls** options (scanner light may turn green depending on the type of scanner you have indicating that the scanner is ready to accept a check). Scan the check and click **Save** under **Scan Controls** options (see Figures 4- 11 below). The bottom of the *Agency Form* entry screen displays *Scan front of Check*.

Note: A Batch Control screen may appear, based on the agency's configuration settings.

Scan a Check Offline

To scan a check, complete the following steps:

1. Click the **Check Processing** tab. Click **Check Scan** (see Figure 4 below).

Figure 4. Check Processing> Check Scan

2. The *Check Scan-Select Open Batch* page appears. Click **Next** after you make your selections below (see Figure 5 below).

   Under **Select Open Batch,**
   - Click **Select** for the *OTCnet Endpoint* for which you want to scan a check(s)

   If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

   During the scanning process, if an operator only has access to scan against a single **OTC Endpoint**, then the system will *not* prompt the user to select an **OTC Endpoint**.

Figure 5. Click Scan- Select Batch Page

3. The *Check Scan* page appears*.* Perform the following tasks below (refer to Figure 6 below) then insert the check in the scanner:

   Under **ALC+2** (Agency Location Code +2),
   - Verify the **OTC Endpoint**. If you need to change the OTC Endpoint, click **Previous** and return to Step 2

      Under **Processing Method**,
      - Select the **Customer Present**, **Customer Not Present**, or **Back Office**

   Processing Method indicates how the check data is entered. There are three Processing Methods:

   - *Customer Present*-Customer has presented a check in person and is standing at counter

   - *Customer Not Present*-Customer has dropped off the check and is not available

   - *Back Office*-Customer presented a check in person and the check is being scanned in a controlled back-office environment

Figure 6. Verify Scanning Options

Under **Item Type**,
- Select the **Personal** or **Non-personal**

Item Type indicates whether the check presented is a personal or business check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal). See Figure 7 below for more details.

Item Types are defined as follows:

- *Personal* -Name on the check is an individual's name, not acting as an organization

- *Non- Personal* - Name on the check is an organization, or the check is a money order, traveler's check, or third-party check

**Figure 7. FedACH and Check 21 Item Types**

FedACH	Check 21
• Direct Deposit of payroll, Social Security and other government benefits, and tax refunds • Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums • Business-to-business payments • E checks • E commerce payments • Federal, state and local tax payments	• Business Checks • Money Orders • Treasury Checks • Credit Card Checks • Traveler's Checks • Cashier's Checks • Official Checks • Third-party Checks • Payroll Checks • Checks drawn on state or local government

Under **Scan Controls** (see Table 3 for definitions),
• Click **Start Scan**, when ready to scan a check

If you use an **EC7000i** to scan checks in Batch method, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the check, the dialog box shows the item count after each scan(see Figure 8 below). The back of the check is displayed momentarily then the image of the next check that was scanned appears.

Figure 8. Waiting for Check Image
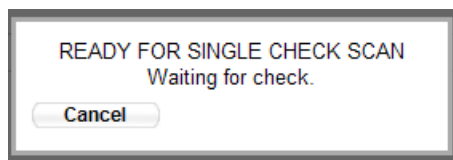
If you use a **Panini MyVision X** to scan checks in Batch method, a *READY FOR BATCH SCAN Waiting for check* dialog box appears, after clicking **Start Scan**. Insert the checks in the hopper. The dialog box shows the item count after each scan. When the hopper is empty or when you finish scanning, click **Stop**.

Table 3. Scan Controls Menu

Cancel	Cancels the transaction. No data will be saved
Receipt	Access a receipt for review or printing. This only available once the initial check is scanned
Clear Form	Clears the data entered
Save	Saves the transaction
Scanner Config	Provides scanner, print and processing method configuration information

Under **Scanned Check Image***, optional*
- Click **<** to view the front of the check
- Click **>** to view the back of the check
- Click **-** to reduce the image of the check
- Click **+** to increase the image of the check
- Click **Left Rotate** to turn the image to the left
- Click **Right Rotate** to turn the image to the right

You can manipulate the image of the checks you capture, but using the options under **Scanned Check Image**, below are images of how the checks will look when rotated are shown in Figure 9 below).

Figure 9. Scanner Check Image (Sample Images)
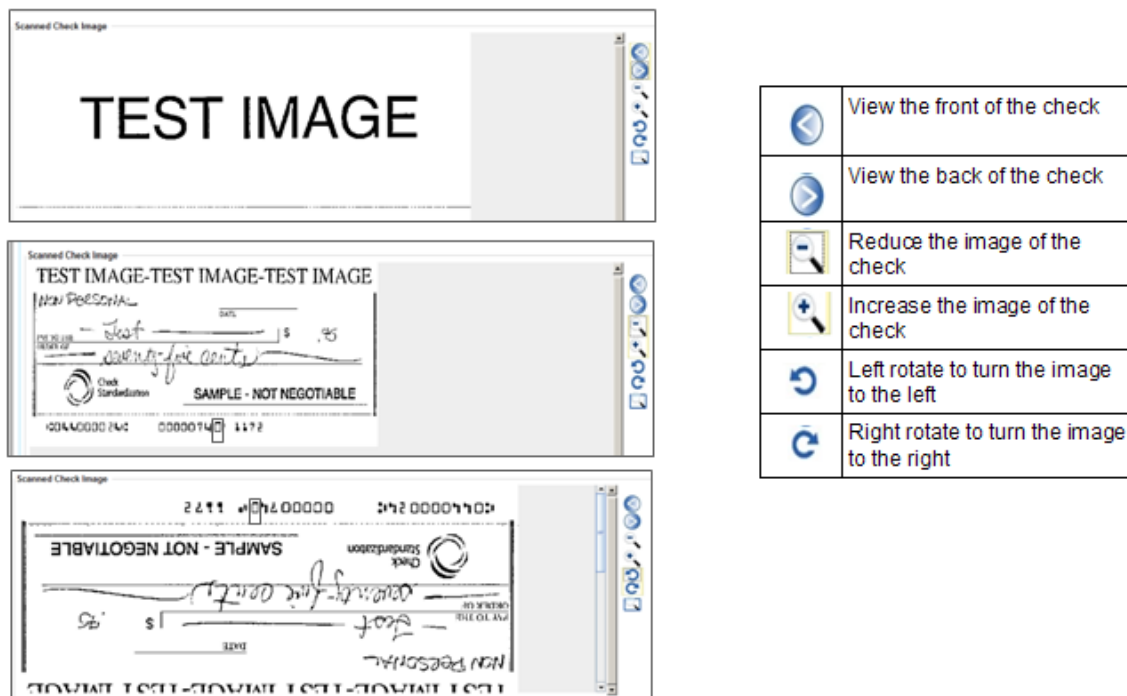
4. Under **Agency Form Data,** enter the check data in the field(s) provided and click **Save** (see Figure 10 below). After saving the data, a message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount.

- Enter the **Amount**, *required*

Note: Only numbers need input. For example, entering in 1290 would equal $12.90, and 56321 would be equal to $563.21. The maximum dollar amount that can be keyed into the data entry screen is 99,999,999.99. The minimum amount is .01.

The **Agency Form Data** form is customizable and can include fields beyond the **Amoun**t field (e.g. Social Security Number). If your agency has additional fields, they display under the **Amoun**t field. Your agency may deem the field(s) either mandatory or optional for you to complete an entry (see Figure 10 below). If you agency requires additional fields, contact your Deployment Specialist at 703-377-5586 or fms.otcdeployment@citi.com.

Note: Since the configuration field requirements are established by each agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message is displayed in the middle of the screen and corrections must be made to the field before the transaction is accepted.

Figure 10: Agency Form Data Entry Fields

Recapture an image of a check if it inserted upside down; appears skewed; or the image is illegible. Click **Cancel** and reinsert the check in the scanner. Then click **Start Scan** and re-enter the necessary data.

Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates located in the frame of the **Agency Form Data).** For details regarding your scanner configurations, click on **Scanner Config**, under Scan Controls (see Figure 11 below).

Figure 11. Scanner Config Menu Option
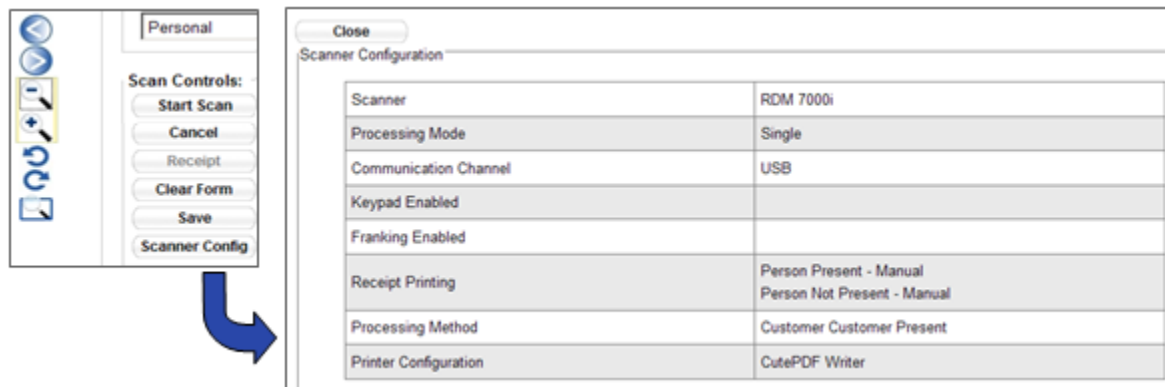
Scan a Check Offline

To capture a check, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Check Scan**. The *Check Scan-Select Open Batch* page appears*.*

   Under **Select Open Batch,**
   - Click **Select** for the *OTCnet Endpoint* for which you want to scan a check(s)

   > **Application Tip**
   >
   > If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

   > **Application Tip**
   >
   > During the scanning process, if an operator only has access to scan against a single OTC Endpoint, then the system will not prompt the user to select an OTC Endpoint.

3. Click **Next**. The *Check Scan* page appears*.*

   Under **ALC+2** (Agency Location Code +2),
   - Verify the **OTC Endpoint**. If you need to change the OTC Endpoint, click **Previous** and return to Step 2

   Under **Processing Method**,
   - Select the **Customer Present**, **Customer Not Present**, or **Back Office**

   Under **Item Type**,
   - Select the **Personal** or **Non-personal**

> **ⓘ Application Tip**
>
> **Processing Method** indicates how the check data is entered. You can process checks one of three ways:
>
> - *Customer Not Present* *method*: indicates that a Customer has dropped
>   off the check and is not available.
>
> - *Customer Present* *method:* indicates that a Customer has presented a check in person and is standing at counter.
>
> - *Back Office* *method*: indicates that a Customer presented a check in person and the check is being scanned in a controlled back-office environment.

> **ⓘ Application Tip**
>
> The **Item Type** indicates whether the check presented is a personal or business check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal).
>
> - *Personal* *method*: indicates that the name on check is an individual's name, not acting as an organization
>
> - *Non-personal* *method:* indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check
>
> - Examples of FedACH and Check 21 Item Types are listed below.
>
> | FedACH | Check 21 |
> |---|---|
> | • Direct Deposit of payroll, Social Security and other government benefits, and tax refunds
• Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums
• Business-to-business payments
• E checks
• E commerce payments
• Federal, state and local tax payments | • Business Checks
• Money Orders
• Treasury Checks
• Credit Card Checks
• Traveler's Checks
• Cashier's Checks
• Official Checks
• Third-party Checks
• Payroll Checks
• Checks drawn on state or local government |

Under **Scan Controls**,
- Click **Start Scan**, when ready to scan a check
- Insert the check in the scanner

ⓘ **Application Tip**

Scanner types include:

- **EC7000i:** This scanner will automatically scan both sides of a check and can scan in single or batch method (two or more checks in a batch).

- **EC6000i:** This scanner will prompt you to scan the back side of a check and scans only in single method.

- **EC5000i:** This scanner will prompt you to scan both sides of a check and can scan only in single method.

- **Panini MyVision X**: This scanner will automatically scan both sides of a check and can scans only in batch method (two or more checks at a time).

ⓘ **Application Tip**

Additional buttons under **Scan Controls** that help you perform other tasks:
- Click **Cancel** to cancel the transaction. No data will be saved.
- Click **Receipts** to access a receipt for review or printing. This only available once the initial check is scanned.
- Click **Clear Form** to clear the data entered.
- Click **Save** to save the transaction.

ⓘ **Application Tip**

Recapture an image of a check if it inserted upside down; appears skewed; or the image is illegible. Click **Cancel** and reinsert the check in the scanner. Then click **Start Scan** and re-enter the necessary data.

Under **Scanned Check Image**, *optional*
- Click **<** to view the front of the check
- Click **>** to view the back of the check
- Click **-** to reduce the image of the check
- Click **+** to increase the image of the check
- Click **Left Rotate** to turn the image to the left
- Click **Right Rotate** to turn the image to the right

Under **Agency Form Data,** enter the check data in the field(s) provided
- Enter the **Amount**, *required*

⚠️ **Application Tip**

The **Agency Form Data** form is customizable and can include fields beyond the **Amount** field (e.g. Social Security Number). If your agency has additional fields, they display under the **Amount** field. Your agency may deem the field(s) either mandatory or optional for you to complete an entry. If your agency requires additional fields, contact your Deployment Specialist at 703-377-5586 or fms.otcdeploymnet@citi.com.

⚠️ **Application Tip**

If you use an **EC7000i** to scan checks in Batch method, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the checks one at a time. The dialog box shows the item count after each scan. When you finish scanning, click **Stop**.

⚠️ **Application Tip**

If you use a **Panini MyVision X** to scan checks in Batch method, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the checks in the hopper. The dialog box shows the item count after each scan. When the hopper is empty or when you finish scanning, click **Stop**.

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4. Click **Save** to save the image of the check and the data you entered. A message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount

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⚠️ **Application Tip**

Additional buttons on the page that help you perform other tasks:
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to Return to the OTCnet Home Page.

Topic 3. Manage Poor Check Image Quality

There are instances when the image of a scanned check is not captured successfully. OTCnet Image quality tests are performed on each check, as soon as the check is captured and the image is available. If a check passes the image quality tests, the item processing continues. If the check fails the image quality tests, an *Image Quality Failed* message is displayed.

It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. It is also stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on the agency's behalf with the image that has been submitted, the debit reverts back to the agency and collection becomes the agency's responsibility.

If an *Image Quality Failed* message is displayed during the check scanning process and the check image is skewed, illegible, or upside down, an operator may consider the following options:

- **Rescan** the check (recommended to perform as many times as necessary)

- **Cancel** the check and opt to use the Deposit Processing functionality within OTCnet to deposit the check

- **Accept** the check (requires a **Check Capture Supervisor** to Log in to OTCnet to authorize)

A **Check Capture Supervisor** can choose to override a poor image in hopes that it will process anyway. The following examples are of a poor image scan (see Figure 12 below), and an image of good quality (see Figure 13 below). Agencies should be aware that overriding a poor image may result in a returned item, depending upon the paying financial institution.

Figure 12. Poor Image Quality
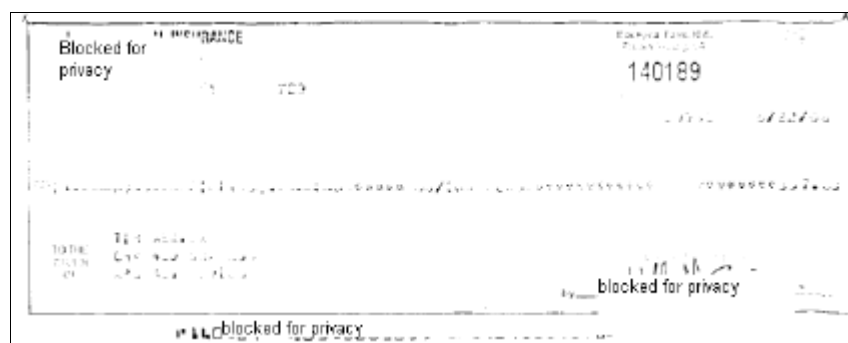
Figure 13. Good Image Quality
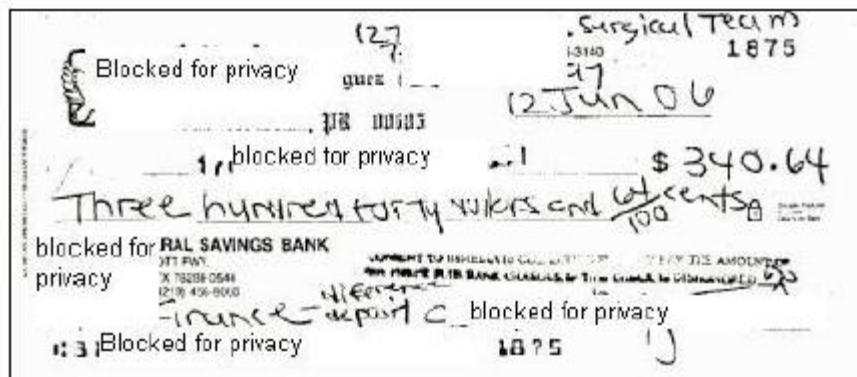
Manage a Check with Poor Image Quality

To manage a check with poor image quality, complete the following steps:

1. From the *Check Scan – Perform Check Scan* page, the *Image Quality Failed* message appears. The following message appears to the right of the screen:

    Metric '*Image Too Light' Threshold: "Black pixel percentage'* and
    Reason: *'Value is less than Limit'*

    A user has the option to click on one of the following (see Figure 14 below):

    - **Rescan** to rescan the check
        Or
    - **Cancel** to completely cancel the transaction
        Or
    - **Accept** to accept the image of the check (requires **Check Capture Supervisor** to log in)

Figure 14. Image Quality Failed Message
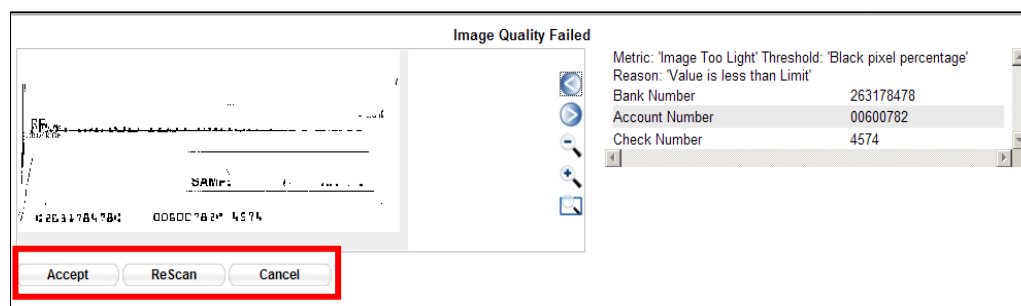
2. If you choose to click **Accept** to accept the image of the scanned check, the *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login** (see Figure 15 below).
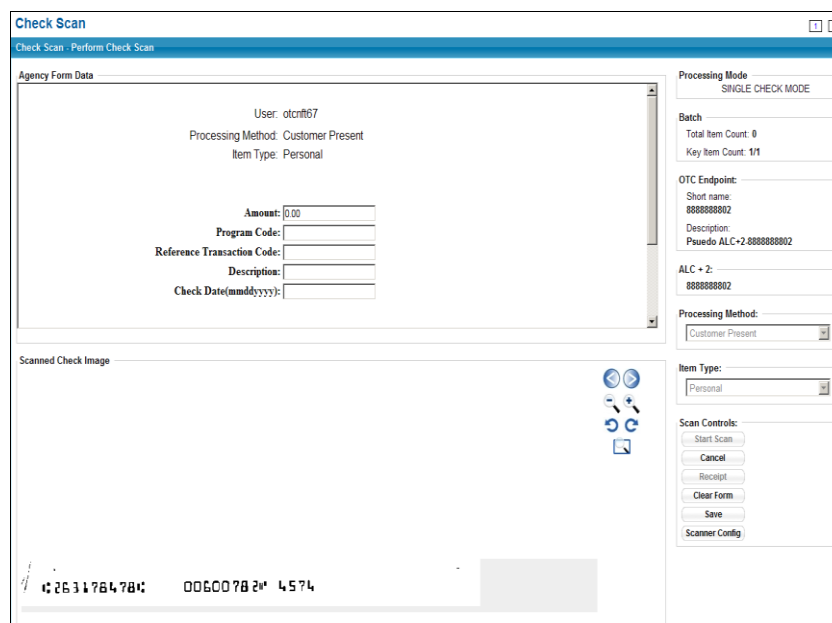
   If a **Check Capture Lead Operator** or **Check Capture Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor** can accept a check with poor image quality.

Figure 15. Login Dialog Box

2. Check scanning tasks can resume after a **Check Capture Supervisor** logs in to authorize the acceptance of the poor image quality check. A **Check Capture Operator** or **Check Capture Lead Operator** may enter the check item details into the form fields at this point (see Figure 16 below).

Figure 16. Check Scan- Perform Check Scan Page

Manage a Check with Poor Image Quality

To manage a check with poor image quality, complete the following steps:

1. From the *Check Scan – Perform Check Scan* page, the *Image Quality Failed* message appears. Click:

   - **Rescan** to rescan the check

   Application Tip

   Click **Rescan** if the check image is skewed, illegible, or upside down.

   - Or, **Cancel** to completely cancel the transaction

   - Or, **Accept** to accept the image of the check (requires **Check Capture Supervisor** to log in). The *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login**.

   Application Tip

   If a **Check Capture Lead Operator** or **Check Capture Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor** can approve a check with poor image quality. The **Check Capture Supervisor** must key in his/her Login ID and Password before approving the check.

2. Resume check scanning tasks and enter the check item details into the form fields.

3. Click **Save** to save the image of the check and the data you entered.

   Application Tip

   Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates located in the frame of the **Agency Form Data)**

Application Tip

Additional buttons on the page that help you perform other tasks:
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to Return to the OTCnet Home Page.

Topic 4. Resolve a Duplicate Check

If a duplicate check is detected, a *Duplicate Check Detected* prompt appears requesting that the user resolve the issue. OTCnet determines and detects duplicate checks based on a match of the MICR and the check amount.

If a check is scanned twice and the information entered is for the *same amount*, OTCnet displays an error message containing both scanned images and requests confirmation. If the check is scanned twice and information entered for a *different amount*, OTCnet does not catch the error and will allow the duplicate entry. However, the financial institution will later reject one of the duplicate checks.

To help prevent duplicate processing of checks, checks may be hand stamped with *Electronically Presented* after the transaction is complete and the check has been scanned. The EC6000i and EC7000i scanners can also be setup to automatically stamp the front of the check with the words, *Electronically Presented*, once the transaction is complete. This will require the purchase of a *Franker.*

If the MICR line was misread by the scanner leading the system to believe that the check is a duplicate, it can be edited. To determine if the MICR line was misread, compare the two images in the window. The top image depicts the current check, and the bottom image depicts the most recently scanned check that is being deemed a duplicate by the system. Also, compare the MICR line on the bottom check with the source document. If it has been determined to be a misread of the MICR line that needs to be corrected, a **Check Capture Supervisor** can click the **Edit MICR** button at the bottom of the window (for details, refer to the Edit MICR topic of the Correcting Scanned Checks Participant User Guide).

If a *Duplicate Check Detected* prompt is displayed during the check scanning process, an operator may consider the following options:

- **Rescan** the check (recommended to perform as many times as necessary)

- **Edit MICR** to correct the MICR line

- **Accept** the check (requires a **Check Capture Supervisor** to log in to OTCnet to authorize)

- **Cancel** the check
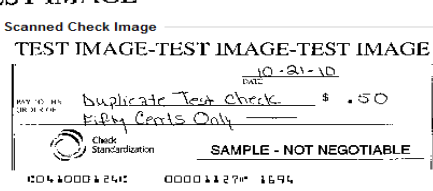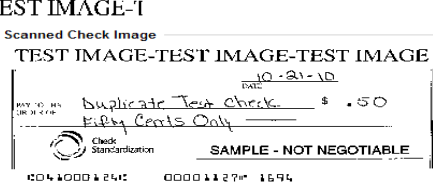
A **Check Capture Supervisor** is the only authorized user who can accept a duplicate check. Therefore, before a **Check Capture Lead Operator** or **Check Capture Operator** can accept a duplicate check, a **Check Capture Supervisor** must log in to authorize it.

Resolve a Duplicate Check

To resolve a duplicate check, complete the following steps:

1. From the Check Scan – Perform Check Scan page, the Duplicate Check Detected message appears. A user has the option to click on one of the following (see Figure 17 below):

   - **Accept** to accept the image of the check
     Or
   - **Edit MICR** to correct the MICR line
     Or
   - **Rescan** to rescan the check
     Or
   - **Cancel** to completely cancel the transaction

Figure 17. Duplicate Check Detected

3. Click **Cancel** to cancel the duplicate (advised). Click **Cancel** or **Cancel All** at the dialog box. A *Transaction cancelled successfully* dialog box appears. Click **Ok** (see Figure 18 below).

Figure 18.Cancel a Check Dialog Box
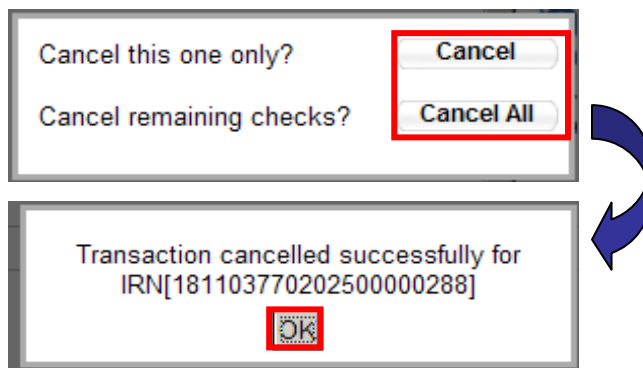
Note: If you want to edit the **MICR** codeline, click **Edit MICR**, a **Check Capture Supervisor** must authorize a MICR line code correction (for details, refer to *Edit a MICR* line topic in Correcting Scanned Checks of the Participant User Guide).

Continue to Step **4** below if you want to **Accept** the duplicate check, requiring a **Check Capture Supervisor** to log in (at the Login prompt).

4. Enter **Check Capture Supervisor** Login ID and Password and click **Login** (see Figure 19 below).

Figure 19. Accept Duplicate Prompt
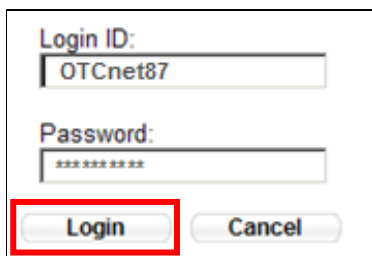
After the duplicate check is accepted, the **Check Capture Operator** or **Check Capture Lead Operator** can print a receipt if they choose and continue scanning checks (see Figure 20 below).

Figure 20. Check Scanning Proceeds (print receipt as necessary)

Resolve a Duplicate Check

To resolve a duplicate check, complete the following steps:

1. Click **Cancel** to cancel the duplicate check. A dialog box appears.

> **Application Tip**
>
> Click **Accept** to continue processing the check. A **Check Capture Supervisor** or **Check Capture Lead Operator** must log in to authorize the duplicate check.
> 1. Log in to accept the duplicate at *Login ID* prompt.
> 2. Click **Login**.

2. Click **Cancel** or **Cancel All**. A *Transaction cancelled successfully* dialog box appears.

> **Application Tip**
>
> Click **Edit MICR** to correct the MICR line. A **Check Capture Supervisor** must authorize a MICR line code correction (for details, refer to the Edit a MICR topic of the Correcting Scanned Checks Participant User Guide).
>
> Click **ReScan** to clear the image from the screen and rescan the check.

> **Application Tip**
>
> Click **Cancel** to cancel the one duplicate check. Click **Cancel All** to cancel all pending checks in the batch.

3. Click **OK**. The *Check Scan – Perform Check Scan* page appears.

> **Application Tip**
>
> Additional buttons on the page that help you perform other tasks:
> * Click **Previous** to return to the previous page.
> * Click **Return to Home** to return to the OTCnet Home page.

Topic 5. Void a Check

As a **Check Capture Supervisor**, or a **Check Capture Lead Operator (CCLO)** with **Batch Approver** permission, you are the only authorized user who can void an erroneously scanned check. Before you can void a check, you must first search for the batch in which the check resides. You can search for batches by **OTC Endpoint**, **Batch ID**, **Cashier ID**, and/or **Batch Status**. If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view. You can only void checks in batches for OTC Endpoints that you have permission to access and only for items with an open or closed batch status.

Payments should only be entered for the amount of the item being processed. If a data-entry error is made in one of the user-defined fields, or amount entered for the check differs from the written amount of the check, two options are available:

1. Void the check and rescan with the corrected information during the check capture process (requires **Check Capture Supervisor** to sign in to approve).

2. If a **Check Capture Supervisor** is not available to approve the void while the operator has scanning in progress, the check will need to be voided via the **Batch Management** menu option. A **Check Capture Supervisor** will need to sign on to **Batch Management** and change the incorrectly typed amount with the correct amount or update the user-defined field.

NOTE:

- The minimum limit for reporting items that need to be adjusted by Treasury/FMS is $25.00. If the adjustment is $25.00 or more, the check is only corrected to the written dollar amount on the face of the check

- Voided items are not archived in the **Central Image Retrieval Archive (CIRA)** for long-term storage.

- Do not scan the item a second time to process a second item for the amount difference. Doing so would create processing errors at Treasury/FMS as well as at the check writer's financial institution.

- If a file containing the wrong amount has already been transmitted or if you ever encounter a processing issue and need assistance, please contact the Treasury OTC Support Center.

Void a Check

To void a check, complete the following steps:

1. Click the **Check Processing** tab. Click **Batch Management** (see Figure 21 below).

Figure 21. Batch Management (Voiding)
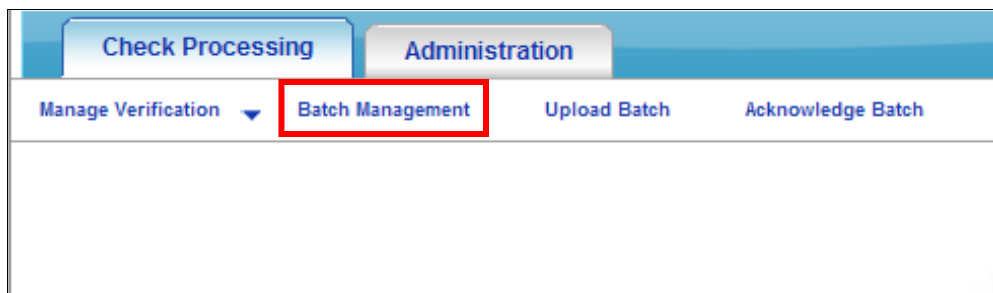
2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view (see Figure 22 below).

Under **Batch Search Conditions**, *optional*
- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column
- Enter the **Batch ID**
- Enter the **Cashier ID**

Under **Batch Status**,
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 22. Search Batch Page

3. The *View Batches* page appears. Click the **Batch ID** hyperlink (see Figure 23 below).

Figure 23. View Batches Page (Voiding)

	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count
☐	528C62F3-A83B-4BA7-BAF3-86DBD8926A31	otcnft66	9999999902	9999999902	9/23/2010 1:10:15 PM	1
☐	DEF20185-E8D6-444A-A74F-7A6D3006BA1E	otcnft67	DevL3	9999210801	9/22/2010 6:24:53 PM	2
☐	37A6A143-0B25-4ADC-AA68-AB23BE534B1F	otcnft66	9999999902	9999999902	9/22/2010 3:58:01 PM	10
☐	FFA222DE-1292-43C9-9B39-7F625B169B06	otcnft66	9999999901	9999999901	9/22/2010 2:52:40 PM	3
☐	F82CC475-E0B7-4D92-BE8E-E315D805E953	otcnft67	9999999901	9999999901	9/22/2010 2:41:14 PM	2
☐	AE446431-7077-4746-A992-38FC6D6EEA42	otcnft66	9999999901	9999999901	9/22/2010 2:26:36 PM	3
☐	968BBCC0-DDDE-428C-A83A-4F3F16B22832	otcnft67	9999999901	9999999901	9/22/2010 1:12:54 PM	1
☐	F3E7F136-255B-46FE-92F8-2CD9819E8BB4	otcnft67	9999999901	9999999901	9/22/2010 12:44:25 PM	1
☐	1CA78CC8-1686-453E-B4C6-4604AC5724F0	otcnft67	9999999901	9999999901	9/22/2010 12:14:50 PM	1
☐	34718878-4F6A-40C5-BE12-D4F33765A6E6	otcnft67	GT8	0000879701	9/22/2010 11:59:35 AM	3
☐	E9A35786-5A29-48C9-9697-3FC0A00F07E2	otcnft67	9999999901	9999999901	9/22/2010 11:30:46 AM	1
☐	2428F00A-DA4D-4F3B-A669-A45BB8A427C0	otcnft67	DevL3	9999210801	9/21/2010 5:33:54 PM	16
☐	861A18C7-60F4-4290-ABC1-E01E7EC1CAFA	otcnft66	9999999901	9999999901	9/21/2010 4:12:25 PM	3
☐	2FFCC2A2-6142-44EB-880F-2481854187F2	otcnft66	SreeLLEnd2	9999999905	9/21/2010 4:02:54 PM	2
☐	E598A3BD-3095-4107-AC40-451067904E21	otcnft66	9999999901	9999999901	9/21/2010 3:28:54 PM	2

Summary of Batches — View Batches — <<First <Prev 1 2 3 4 5 Next> Last>> | 1 out of 49 pages | 1 to 15 out of 723 records | 15

Previous   Cancel   Activate/Deactivate   Close Batch   Approve

4. The *View Checks* page appears. Click the **Item ID** of the scanned check you would like to void (see Figure 24 below).

If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Note: If you intend to void the entire batch, you can click on **Void All**, located under **Batch Commands** on the right of the *View Checks* Page.

Figure 24. View Checks Page (Voiding)
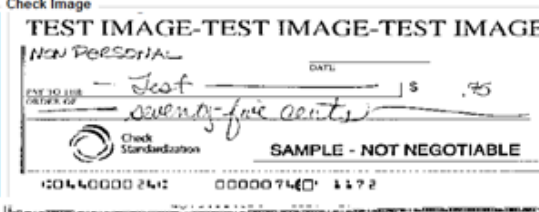
5. An image and details of the check appear in a window below. Click **Void** to the right of the check image to void the check (see Figure 25 below).

Figure 25. Check Image/ Details

6. Click **Confirm** at the prompt asking if you want to void the check (see Figure 26 below).

Figure 26. Void Confirmation Dialog Box

Do you want to Void check 120922500133300000255 with amount $ .95?
Cancel Confirm
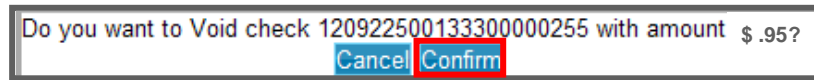
7. Enter comments concerning the void request at the prompt and click **OK** (see Figure 27 below).

Figure 27. Enter Comment Dialog Box

You must enter comments concerning the void request:
Did not intend to
scan this check.
OK Cancel
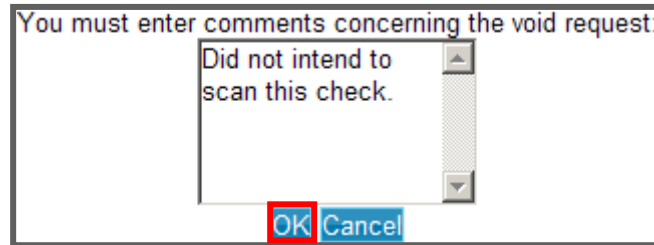
8. Click **OK** at the final prompt stating that the check is voided successfully (see Figure 28 below).

Figure 28. Check Void Dialog Box

Check is voided successfully.
OK
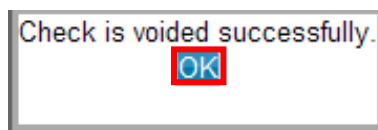
Void a Check

To void a scanned check, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to void a check for by checking the box under the **Select** column
   - Enter the **Batch ID**
   - Enter the **Cashier ID**

   Under **Batch Status**,
   - Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.

5. Click the **Batch ID** hyperlink. The *View Checks* page appears.

> **Application Tip**
>
> If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

6. Click the **Item ID** of the scanned check you would like to void. An image and details of the check appears in a window below.

7. Click **Void** to the right of the check image to void the check.

8. Click **Confirm** at the prompt asking if you want to void the check.

9. Enter comments concerning the void request at the prompt and click **OK**.

10. Click **OK** at the final prompt stating that the check is voided successfully.

Application Tip

Additional buttons on the pages that help you perform other tasks:
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Void All** to void all items in the batch.
- Click **Print Batch List** to print the batch list.
- Click **<** to go to the first batch.
- Click **>** to go to the next batch.
- Click **<<Image** to return to the previous check.
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view the check item details.
- Click **Void** to void a single check item.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print an Item Detail report.

Topic 6. Local Verification Database (LVD) Record

If an agency elects to use the LVD feature, the agency can receive three types of check verification notifications if a check is identified as blocked, suspended, or denied. The check verification notifications are **Blocked**, **Suspended**, or **Denied**.

The **Check Capture Supervisor (CCS)** is the only authorized user who can override (if the transaction can be overridden) a blocked, suspended, or denied notification. When an override of a blocked check is performed, the override is a temporary, one-time event. The check remains blocked in the LVD database unless an authorized person **(Master Verification Database Editor [MVDE] or CCS)** clears the item out of the LVD database.

For the LVD Verification override notification to appear the check item must meet established criteria for blocked, suspended, or denied.

Blocked Check Notification

A blocked notification displays if the check item matches all data as it was input on the blocked record. If the block record is only input with the routing transit number and account number, then that record is only flagged if the data matches. If the blocked record was input with only user defined field 1 data (e.g. Social Security Number or Driver's License Number), then only the user defined field 1 must match for the record. If the blocked record input has both pieces of information, then it must match all combinations (e.g., routing transit and account along with user defined field 1).

Suspended or D-Denied Check Notification

The suspended or denied notification displays if the check item scanned matches the LVD information. A match occurs when a combination of both the routing number and account number matches, or there is match against the user defined field 1.

Each OTC Endpoint that uses the LVD sets their policies to use certain return codes with a defined number of days within the suspension period. During that pre-determined period, if the check writer attempts to cash a check, a suspended notification appears on the OTCnet screen. A typical check cashing policy may mandate that the check writer is suspended for 30 days upon their first offense, 60 days upon their second offense, and 90 days upon their third offense. During the suspension period, they cannot cash a check at that OTC Endpoint. A denied item occurs when the check writer has exceeded all suspension periods. A typical suspension policy may specify that the check writer is suspended as referenced in the paragraph above.

Override a LVD Record

To override an LVD record, complete the following steps:

1. Click **Override** to override the blocked, suspended, or denied check (see Figure 29).

   When an override of a blocked check is performed in check capture, the override is a temporary, one-time event. The check remains blocked in the MVD database unless an authorized person clears the item out of the MVD database.

Figure 29. Override Check Denial Box

Application Tip

Click **Cancel** to close the Check Verification window. If **Cancel** is clicked, return the check to the customer.

2. An Override Check Denial dialog box appears. Enter the **Login ID** and **Password** and click **Login**. A **Comment** dialog box appears (see Figure 30 below).

Figure 30. Override Login Dialog Box

3. Enter a reason why the check was approved for processing and click **OK** (as shown in Figure 31). A notification appears stating the override was successful.

Figure 31. Enter Comments Box

👤💬 Override a LVD Record

To override a LVD Record, complete the following steps:

1. Click **Override** to override the blocked, suspended, or denied check. An Override Check Denial dialog box appears.

> ⓘ **Application Tip**
>
> When an override of a blocked check is performed in check capture, the override is a temporary, one-time event. The check remains blocked in the MVD database unless an authorized person clears the item out of the MVD database.

> ⓘ **Application Tip**
>
> Click **Print** to print the Verification report.
>
> **Verification Report**
> **Date:** 06/25/2010 3:57:07 PM
> **Printed By:** TestID
>
> | **Verification Status :** | BLOCKED |
> | --- | --- |
> | **Current Item** | |
> | SSN | |
> | Bank Number | 031100209 |
> | Account Number | 12348302 |
> | **Problem Item** | |
> | IRN | |
> | **Until Date** | 12/01/2010 00:00:00 AM |
> | **MVD Date** | 04/16/2010 04:59:36 PM |

> ⓘ **Application Tip**
>
> Click **Cancel** to close the Check Verification window. If **Cancel** is clicked, return the check to the customer.

2. Enter the **Login ID** and **Password** and click **Login**. A **Comment** dialog box appears.

> **Application Tip**
>
> A **Check Capture Supervisor** must authorize the overriding of the blocked, suspended, or denied check.

3. Enter a reason why the check was approved for processing and click **OK**. A notification appears stating the override was successful.

Topic 7. Perform Batch Control and Batch Balancing

A Check Capture Administrator can configure the terminal for **Batch Control** as *optional* or *mandatory* on batch create, batch close, or both are an optional feature that your agency can use as a batch balancing tool.

Batch Control can be used to perform balancing on the number of checks that have been scanned, and ensure their respective dollar amounts have been accurately keyed. The **Batch Control** options can be set up for each **OTC Endpoint** which an agency processes. If it is used, the feature applies to both processing modes, i.e., Single and Batch.

The batch control screen displays the **OTC Endpoint** Information such as the **OTC Endpoint** short name, Description, and ALC+2 for the **OTC Endpoint**. Configuration settings for batch control are established in the **Terminal Configuration**.

If **Batch Control** is set at the Batch Create either optional or mandatory, then the **Batch control** screen will appear before scanning a batch of check and when a new batch is created. Depending on the terminal configuration settings, the batch control fields can appear at the beginning of a batch (prior to scanning the check), just prior to closing a batch, or both.

If **Batch Control** is set to *optional*, the **Defer** button appears on the page. If set to *mandatory for either Batch Create or Batch Close,* the **Defer** button does *not* appear on the page and the user cannot start scanning a batch or close the unbalanced batch. If set to mandatory for both Batch Create and Batch Close, then the Defer button will appear during Batch Create, but a user must enter the batch control value during the Batch Close action.

Set to Appear on Batch Create

If the batch control is set to appear on batch create, OTCnet prompts the **Check Capture Lead Operator** or **Check Capture Operator** to enter the batch control total amount and count *before* scanning a check. If the batch control is set to *optional* on batch create, the operators can choose to click the **Next** button to bypass this step.

Set to Appear on Batch Close

If the batch control is set to appear on batch close, OTCnet prompts the **Check Capture Operator, Check Capture Lead Operator** or **Check Capture Supervisor** to enter the batch control total amount and count. Batch control balancing only occurs when closing an open batch. If the batch control is set to *optional* on batch close, the operators, and **Check Capture Supervisor** can choose to click to **Defer** to skip this step.

Batch Control Options

To use the batch control options on batch create, complete the following steps:

On Batch Create (Optional/ Mandatory)

1. From the *Check Scan* page (see Figure 32 below),

   Under **Set Up New Batch**,

   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

2. Click **Next** (see Figure 32 below).

Figure 32. Batch Control Page (Batch Create)

If **Batch Control** is set to mandatory, the **Check Capture Lead Operator** or **Check Capture Operator** must enter the **Batch Control** count and amount. The Batch Control count and amount cannot be zero.

If **Batch Control** is set to optional, the **Check Capture Lead Operator** or **Check Capture Operator** can click the **Defer** button.

3. The *Check Scan-Perform Check Scan* page appears (as shown in Figure 33 below)*.* Perform check scanning as needed.

Figure 33. Perform Check Scan Page (after Batch Control)

On Batch Close (Optional/ Mandatory)

To use the batch control options on batch close, complete the following steps:

1. From the *Batch Control* page (see Figure 34 below),

   Under **Batch Detail**,

   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

2. Click **Next** (see Figure 34 below).

Figure 34. Batch Control Page (Batch Close)

If **Batch Control** is set to optional, the **Check Capture Lead Operator**, **Check Capture Operator**, or **Check Capture Supervisor** can choose to click to **Next** button without entering the **Batch Control** count and amount.

If the amount of a check item was incorrectly entered, click **Cancel** to return to the OTCnet Home Page. No data is saved. Refer to refer to *Chapter 5. Correcting Scanned Checks* of the OTCnet Participant User Guides.

If you are a **Check Capture Lead Operator** or **Check Capture Operator** and discover that the amount of the check item was incorrectly entered, contact your **Check Capture Supervisor,** and edit the check using the *Show Item* window.

3. The *Close Batch* page appears. Verify the batch(es) to close and click **Confirm** (see Figure 35 below). In OTCnet, a user can close one or multiple batches at a time.

Figure 35. Close Batch Page (Batch Close)

4. Click **Print PDF Report** to print the batch list report. Click **Confirm Report Print** when you have printed the report (see Figure 36 below).

Figure 36. Print Batch List Report (Batch Close)

Perform Batch Control (Optional or Mandatory)

To perform batch control on batch create, complete the following steps:

1. From the *Check Scan* page,

    Under **Set Up New Batch**,
    - Enter the **Batch Control Count**
    - Enter the **Batch Control Amount**

> **Application Tip**
>
> If Batch Control is set to mandatory, the **Check Capture Lead Operator** or **Check Capture Operator** must enter the batch control count and amount. The batch control count and amount cannot be zero.

> **Application Tip**
>
> If Batch Control is set to optional, the **Check Capture Lead Operator** or **Check Capture Operator** can click the **Defer** button.

2. Click **Next**. Perform **Check Scan**. The *Check Scan-Perform Check Scan* page appears*.*

3. Scan check(s) as needed.

___

To perform batch control on batch close, complete the following steps:

1. From the *Batch Control* page,

    - Under **Batch Detail**,
        - Enter the **Batch Control Count**
        - Enter the **Batch Control Amount**

2. Click **Next**. The *Close Batch* page appears.

Application Tip

If Batch Control is set to optional, the **Check Capture Lead Operator**, **Check Capture Operator**, or **Check Capture Supervisor** can choose to click to **Next** button without entering the batch control count and batch control amount.

Application Tip

If the amount of a check item was incorrectly entered, click **Cancel** to return to the OTCnet Home Page. No data is saved. Refer to *Chapter 5. Correcting Scanned Checks* of the *OTCnet Participant User Guide*. If you are a **Check Capture Lead Operator** or **Check Capture Operator** and discover that the amount of the check item was incorrectly entered, contact your **Check Capture Supervisor,** and edit the check using the Show Item window.

---

3. Continue batch close process and print batch list report.

Batch Balancing

If the totals that are keyed into the **Batch Control** screen do not match what was keyed into the data entry screen, a **Batch Balancing** screen appears on batch close (see Figure 37 below). This screen only appears if there is a discrepancy between the totals. To reconcile the discrepancy, the operator must discover where the problem exists.

The **Batch Control** (balancing) screen displays the **Batch Detail**. Open fields include the Batch Control Count and Batch Control Amount. If these fields do not match those which you see to the right of the Approved Item Count and Approved Amount, then an error will display; *Failed to balance Batch (batch number), please check batch control* (see Figure 37 below).

If batch control is set to *Mandatory* and the batch is not balanced at this point (Batch Control Count and Batch Control Amount), a user may not proceed with closing a batch. However, if **Batch Control** is set to *Optional*, a user may click **Next** below, to continue closing the batch.

Figure 37. Batch Balancing Screen (Failed to Balance)

Below, are some important **Batch Detail** descriptions that you should know:

- ▪ **Total Item Count:** The number of checks that have been scanned in OTCnet.

- ▪ **Batch Control Count:** The number of checks keyed into the **Batch Control** screen by the operator.
- ▪ **Total Amount:** The total dollar amount of the items as keyed into the agency form data fields when scanning checks.
- ▪ **Batch Control Total:** The total dollar amount of the checks keyed into the Batch Control screen by the operator.

It must be determined if there is an erroneously scanned item, or if the batch should contain both of the items. The operator needs to go back to the source documents for an answer. If it is determined that the batch should contain both items, the operator would change the number in the **Batch Control Count** field and/or the dollar amount in the **Batch Control Total**.

If it has been determined that the batch does include an erroneously scanned item, follow these steps:

1. Click on the erroneous amount.

2. Click **Void** button.

3. Enter comments concerning the void request and click **Ok.**

4. Click **OK** to confirm the void request. The *Confirmation* message appears.

Note: A **Check Capture Supervisor** will need to log in at the prompt, if the **Void** option is clicked.

Topic 8. View and Print a Batch List/ Item Detail Report

As a **Check Capture Supervisor**, **Check Capture Lead Operator,** and **Check Capture Operator**, you can view and print a **Batch List** report and a **Item Detail** report. An operator can print a **Batch List** for any deposits with any deposit status (i.e. Open, Closes, Approved, Forward). A **Batch List** consists of all transactions that have been processed by OTCnet. A user can view batch lists based on the search criteria applied.

The printing of a **Batch List** is part of the batch close procedure. During batch close, the system prompts to make certain that the user acknowledges the printout of the **Batch List**. The **Print PDF Report** button defaults to print in PDF format, however a user may also opt to download and save the report in an alternate format such as Word, HTML, Excel , etc.

From the *Close Batch* page, a user can perform several actions on the same screen (such as Activate/Deactivate, Close and Approve Batches), based on their permissions.

Batch List Report

1. Click the **Check Processing** tab and click **Batch Management** (see Figure 38 below).

Figure 38. Check Batch Management (View Batch)
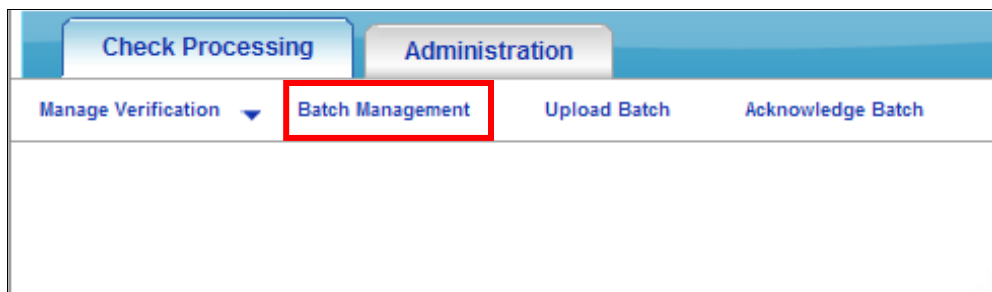
2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view (see Figure 39 below), then click **Search**.

    Under **Batch Search Conditions**, *optional*

    *   Select the **OTC Endpoint** you want to **Close** a batch for by checking the box under the **Select** column
    *   Enter the **Batch ID**
    *   Enter the **Cashier ID**

Under **Batch Status**, *optional*

- Select the **Batch Status** that you want to view a batch list for by checking a box under the **Select** column

If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

Figure 39. Search Batch Page (View Batch)

4. The *View Batches* page appears. Click the **Batch ID** hyperlink (see Figure 40 below). If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 40. View Batches Page (View Batch)

5. The *Batch and Check Details* page appears. Click **Print Batch List** (see Figure 41 below).

Figure 41. View Checks Page (View Batch)

6. The *Batch List Report* page appears (see Figure 42 below).
   Under **Export as**,

   - Select **Word**, **Excel**, **RTF**, or **PDF**
   - Select **All Pages** or **Select Pages Ending Page** radio button.
   - Enter a **Starting Page** and **Ending Page**
   - Click **Download**
             Or
   - Click **Print PDF Report**.

Figure 42. Batch List Report Page

Item Detail Report

To run an item detail report, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management** (refer to Figure 38 above).

2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view (refer to Figure 39 above), then click **Search**.

   Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Close** a batch for by checking the box under the **Select** column
- Enter the **Batch ID**
- Enter the **Cashier ID**

Under **Batch Status**, *optional*

- Select the **Batch Status** that you want to view a batch list for by checking a box under the **Select** column and click **Search**

If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

3. The *View Batches* page appears. Click the **Batch ID** hyperlink (refer to Figure 40 above).

4. The *Batch and Item Details* page appears. Click the **Item ID** of each scanned check, then click **Print Item** for the specific check item you want to print (refer to Figure 43 below). If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 43. View Checks Page/ Item ID Select

5. The *Item Detail Report* appears (refer to Figure 42 above).

Under **Export as**,

- Select **Word**, **Excel**, **RTF**, or **PDF**
- Select **All Pages** or **Select Pages Ending Page** radio button
- Enter a **Starting Page** and **Ending Page**
- Click **Download**
          Or
- Click **Print PDF Report**

View and Print a Batch List Report

To view and print a Batch List report, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

3. Select or enter the batch search conditions you would like view.

     Under **Batch Search Conditions**, *optional*
     - Select the **OTC Endpoint** you want to **Close** a batch for by checking the box under the **Select** column
     - Enter the **Batch ID**
     - Enter the **Cashier ID**

     Under **Batch Status**, *optional*
     - Select the **Batch Status** that you want to view a batch list for by checking a box under the **Select** column

     Application Tip

     > If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

4. Click **Search**. The *View Batches* page appears.

5. Click the **Batch ID** hyperlink. The *Batch and Check Details* page appears.

     Application Tip

     > If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

6. Click **Print Batch List**. The *Batch List Report* page appears.

7. Under **Export as**,
     - Select **Word**, **Excel**, **RTF**, or **PDF**.
     - Select **All Pages** or **Select Pages Ending Page** radio button.
     - Enter a **Starting Page** and **Ending Page**
     - Click **Download**
            Or
     - Click **Print PDF Report**.

🧑‍💻 View and Print an Item Detail Report

To view and print an Item Detail report, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

3. Select or enter the batch search conditions you would like view.

    Under **Batch Search Conditions**, *optional*
    *   Select the **OTC Endpoint** you want to **Close** a batch for by checking the box under the **Select** column
    *   Enter the **Batch ID**
    *   Enter the **Cashier ID**

    Under **Batch Status**, *optional*
    *   Select the batch status that you want to view a batch list for by checking a box under the **Select** column

    > ⓘ **Application Tip**
    >
    > If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

4. Click **Search**. The *View Batches* page appears.

5. Click the **Batch ID** hyperlink. The *Batch and Item Details page* appears.

    > ⓘ **Application Tip**
    >
    > If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

7. Click **Print Item**. The *Item Detail Report* appears.

8. Under **Export as**,
    *   Select **Word**, **Excel**, **RTF**, or **PDF**.
    *   Select **All Pages** or **Select Pages Ending Page** radio button.
        *   Enter a **Starting Page** and **Ending Page**

- Click **Download**
        Or
- Click **Print PDF Report**

Application Tip

Additional buttons on the page that help you perform other tasks:
- Click **Previous** to return to the previous page.
- Click **Cancel** to cancel the transaction. No data will be saved.

Topic 9. Activate/Deactivate a Batch

A **Check Capture Supervisor** can deactivate a batch if there is a problem with an item within the batch and further research is needed. Deactivating a batch prevents it from being closed or approved for settlement. A deactivated batch must be activated before it can be closed or approved for settlement.

The deactivated batch is retained for as long as the configuration settings allow. Only batches that are in a open or closed state can be deactivated or activated. A batch currently in use cannot be deactivated.

Activating/ Deactivating

1. Click the **Check Processing** tab and click **Batch Management** (see Figure 44 below).

Figure 44. Batch Management (Activate/Deactivate)
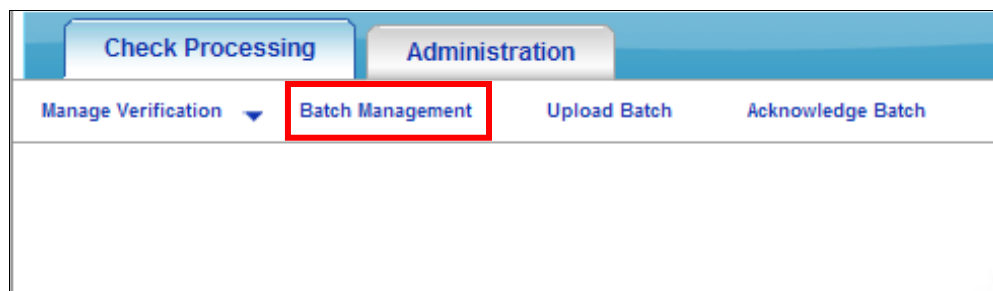
2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search** (see Figure 45 below). Only batches with an **Open** or **Closed** status can be activated/deactivated.

    Under **Batch Search Conditions**, *optional*
    - Select the **OTC Endpoint** you want to activate/deactivate a batch for by checking the box under the **Select** column
    - Enter the **Batch ID**
    - Enter the **Cashier ID**

    Under **Batch Status**,
    - Select the **Status** you want to activate/deactivate by checking the **Open** and/or **Closed** boxes under the **Select** column

Figure 45. Search Batch Page (Activate/Deactivate)

3. The *View Batches* page appears. Check the checkbox(es) of the **Batch ID(es)** you want to activate or deactivate and click **Activate/Deactivate** (see Figure 46).
If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

If a batch is activated or deactivated, a check appears under the **Active Flag** column. If a batch is deactivated, the **Active Flag** column is blank.

Figure 46. View Batches Page (Activate/Deactivate)

Figure 47. Activate/ Deactivate Batch Page

4. A message appears stating the batch(es) have been deactivated/activated and the value under **Active Status** updates to Active/Inactive (see Figure 48).

Figure 48. Batch Activate/ Activate Confirmation

Activate/Deactivate a Batch

To activate/deactivate, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

3. Select or enter the batch search conditions you would like view.

    Under **Batch Search Conditions**, *optional*
    - Select the **OTC Endpoint** you want to activate/deactivate a batch for by checking the box under the **Select** column
    - Enter the **Batch ID**
    - Enter the **Cashier ID**

    Under **Batch Status**,
    - Select the **Status** you want to activate/deactivate by checking the **Open** and/or **Closed** boxes under the **Select** column

---

Application Tip

Only batches with an **Open** or **Closed** status can be activated/deactivated.

---

4. Click **Search**. The *View Batches* page appears.

5. Check the checkbox(es) of the **Batch ID(es)** you want to activate or deactivate and click **Activate/Deactivate**. The *Activate/Deactivate Batch* page appears.

Application Tip

If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Application Tip

If a batch is activated or deactivated, a check appears under the **Active Flag** column. If a batch is deactivated, the **Active Flag** column is blank.

---

6. Click **Confirm**. A message appears stating the batch(es) have been activated/deactivated and the value under **Active Status** updates to Active/Inactive.

 Application Tip

Additional buttons on the page that help you perform other tasks:
- Click **Return to Batch Summary** to return to the batch summary page.
- Click **Return Home** to return to the OTCnet homepage.

Topic 10. Close a Batch

If you are assigned the role of **Check Capture Supervisor (CCS), Check Capture Operator (CCO)** or **Check Capture Lead Operator (CCLO)**, you are the only authorized users who can close a batch or multiple batches. You can only close batches for **OTC Endpoints** you have permission to access.

Before you can close a batch or multiple batches, you must first search for the batch. You can search for batches by **OTC Endpoint**, **Batch ID**, **Cashier ID**, and/or **Batch Status**. If you run a search without specifying any criteria, the search results can include all batches in the system that you have access to view. There are seven batch status types, see Table 4 for details below.

Table 4. Batch Status Types

Batch Status Types	
Open	Indicates the batch is open and you can continue scanning checks to it.
Closed	Indicates the batch is closed and no new checks are accepted
Approved	Indicates the batch is ready for upload and settlement.
Sent	Indicates the batch was uploaded online without error.
Acknowledged	Indicates the batch was transmitted and fully processed by OTCnet server without error.
Send Error	Indicates the batch upload experienced system errors and the batch was not successfully uploaded, or a user selected to cancel the batch upload and the system halted the upload.
Acknowledged Error	Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which results in a batch being updated to Acknowledgment Error.

Closing a Single Batch

To close a single batch, complete the following steps:

1. Click the **Check Processing** tab and select **Batch Management** (see Figure 49 below).

<div align="center">

Figure 49. Check Processing > Batch Management
(Closing Single Batch)

</div>
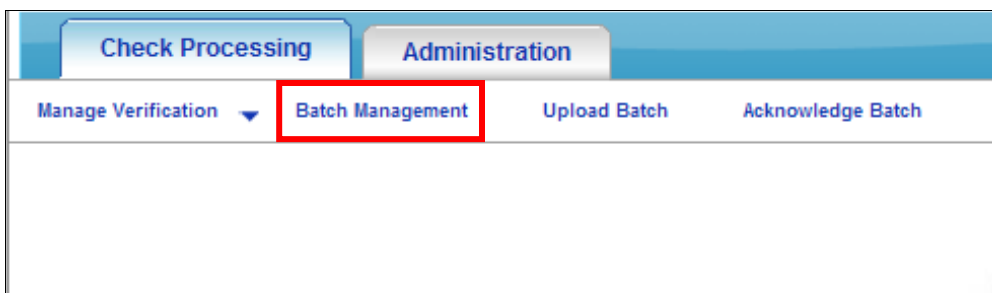
2. When the *Search Batch* page appears, enter the batch search conditions you would like view and click **Search** (see Figure 50 below).

    Under **Batch Search Conditions**,
    *   Select the **OTC Endpoint** you want to **Close** by checking the check box under the **Select** column
    *   Enter the **Batch ID**
    *   Enter the **Cashier ID**

    Under **Batch Status**,
    *   Select the **Status** you want to approve by checking the **Open** box under the **Select** column

Figure 50. Search Batch Page (Closing Single Batch)

7. The *View Batches* page appears. Click the **Batch ID** hyperlink (see Figure 51 below).

Figure 51. View Batches Page (Closing Single Batch)

8. The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page (see Figure 52 below).

Figure 52. View Checks Page (Closing Single Batch)

Note *(if applicable):* If you are using the balancing feature for your **OTC Endpoint** and it has been established as mandatory, you will be required to balance your batch, as shown in Figure 53 below. Perform adjustments as needed and click **Balance**.

Figure 53. Batch Control Balancing Image

Once you have balanced the batch, the *Batch Control Information* dialog box appears (see Figure 54 below).

Figure 54. Batch Control Information Dialog Box

After balancing the batch, you are offered two options:

Option A. If you click **Close Batch** (refer to Figure 55 above), you are taken directly to the *Close Batch* Page (see Figure 56 below).

Figure 55. Close Batch Page

Option B. If you click **OK** (refer to Figure 54 above), you return to the *View Checks* page (refer to Figure 52). From the *View Checks* page, click **Previous** to return to the **View Batches** page.

Note: You can also click **Print Batch List**, under **Batch Controls** from the *View Checks* page (see Figure 56 below).

Figure 56. Print Batch List Option from *View Checks* Page (Closing Single Batch)

9. Once closing the batch(es), click **Print PDF Report** to view or print the batch list before closing a batch (see Figure 57 below).

Figure 57. Batch List Report Page (Closing Single Batch)

10. The *View Batches* page appears. Select the batch that you want to close by checking the box to the left of the **Batch ID** and click **Close Batch** (see Figure 58 below).

Figure 58. View Batches Page (Closing Single Batch)

	Batch ID	Creator	OTC Endpoint	ALC+2	Created On ▼	Item Count	Total Amount	Status	Active Flag
☑	40C7A94D-C3D1-4E0C-B115-DCFD282653D1	otcnqe89	DSSN 5570	0000557002	10/5/2010 11:59:45 AM	1	76.98	OPEN	✔
☐	2BD5F63C-579D-46BA-BD7F-5D27D8028808	otcnqe89	DO 101st	0000500601	10/5/2010 10:58:26 AM	1	43.54	OPEN	✔
☐	d73b1846-e15f-40dd-92de-a943a236b000	otcnqe89	DO Indpls	0000557001	9/22/2010 11:22:28 AM	11	1092.42	OPEN	✔
☐	11bcc626-9327-4f35-a9b7-5d2b0a1986ae	otcnqe89	OGD	2009290001	9/9/2010 10:50:03 AM	60	10717528.00	OPEN	✔
☐	88037490-cca8-403e-b54c-fbcb61101c09	otcnqe89	099	7005009902	9/8/2010 4:58:03 PM	20	68558.00	OPEN	✔

Previous Cancel **Close Batch**

11. The *Close Batch* page appears. Verify that you want to close the batch and click **Confirm** (see Figure 59 below).

Figure 59. Close Batch Confirmation (Closing Single Batch)

Close Batch

Batches to be Closed

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	DSSN 3801	0000380101	1	50.00

« Previous   **Confirm**

Note: If the Batch Control settings were established as optional or mandatory, the *Batch Control* page will appear, before closing a batch.

12. Click **Next** after balancing to proceed to closing the batches (see Figure 60 below).

If you click **Skip**, you will return to the *Close Batch* page (refer to Figure 59 above), before returning to the *View Batches* page (refer to Figure 58 above), to close the batch.

Figure 60. Batch Control Validation (Closing Single Batch)

Batch Control	
Batch Control	
Batch Control Setup	
Batch Detail	
OTC Endpoint	**DSSN 5570**
Description	**Indianapolis Disbursing Operations**
ALC + 2	**0000557002**
Batch ID	**40C7A94D-C3D1-4E0C-B115-DCFD282653D1**
Creator	**otcnqe89**
Created On	**10/05/2010 11:59:45 AM ET**
Total Item Count	**1**
Total Amount	**76.98**
Approved Item Count	**1**
Approved Amount	**76.98**
Voided Item Count	**0**
Voided Amount	**0.00**
Batch Control Count:	1
Batch Control Amount:	76.98

Cancel   Skip   **Next »**

If **Skip** is selected the **Status** remains **Open** and the batch is not closed (see Figure 61 below to view a batch that has not closed). Click **Return to Batch Summary**, to return to the *View Batches* page, as shown in Figure 61 below (you can begin the process of closing a batch again).

Figure 61. Close Batch Page if Skip is Clicked (Closing Single Batch)

Close Batch					
Close Batch					
The Batches that have not been Closed					
Batch ID	**OTC Endpoint**	**ALC + 2**	**Item Count**	**Total Amount**	**Failure Reason**
40C7A94D-C3D1-4E0C-B115-DCFD282653D1	DSSN 5570	0000557002	1	76.98	Skipped

Return to Batch Summary   Return Home

13. The *Close Batch* page appears with the batch details. Click **Print PDF Report** and click **Confirm Report Print** to close the batch. A batch close is not processed until the **Confirm Report Print** is clicked (click Figure 62 below).

Figure 62. Batch List Report Page– Confirm Report Print (Closing Single Batch)

14. A *Close Batch* page appears, verifying the batch has been closed. Click **Return to Batch Summary** (see Figure 63 below).

Figure 63. Close Batch Page- Confirmation (Closing Single Batch)

Close Multiple Batches

To close multiple batches, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management** (refer to Figure 49 in the previous section).

2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search** (refer to Figure 50 in the previous section).

    Under **Batch Search Conditions**,
    *   Select the **OTC Endpoint** you want to **Close** by checking the check box under the **Select** column
    *   Enter the **Batch ID**
    *   Enter the **Cashier ID**

    Under **Batch Status**,
    *   Select the **Status** you want to approve by checking the **Open** box under the **Select** column

3. The *View Batches* page appears. Click the **Batch ID** hyperlink for each batch you would like to review (refer to Figure 51 in the previous section and corresponding Application Tip).

4. The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below (refer to Figure 53 in the previous section). Verify the details are correct and click **Previous** to return to the *View Batches* page.

    Note *(if applicable):* If you are using the balancing feature for your **OTC Endpoint** and it has been established as mandatory, you can balance your batch here, as shown in Figure 53 in the previous section. Perform adjustments as needed and click **Balance**.

    Once you have balanced the batch, the *Batch Control Information* dialog box appears (refer to Figure 54 in the previous section). You are offered two options after balancing the batch:

    > **Option A**. If you click **Close Batch** (refer to Figure 54 in the previous section), you are taken directly to the *Close Batch* Page (refer to Figure 55 in the previous section).

    > **Option B**. If you click **OK** (refer to Figure 54 in the previous section), you return to the *View Checks* page (refer to Figure 53 in the previous section). From the *View Checks* page, click **Previous** to return to the **View Batches** page.

    Note: You can also click **Print Batch List**, under **Batch Controls** from the *View Checks* page (refer to Figure 56 in the previous section).

5. Click **Confirm** the *View Batches* page appears. Select the batches you want to close by checking the box to the left of the **Batch ID** for each batch and click **Close Batch** (see Figure 64 below).

Figure 64. View Batches Page (Closing Multiple Batches)

6. The *Close Batch* page appears. Verify that you want to close the batch and click **Confirm** (see Figure 65 below).

Figure 65. Close Batch Confirmation (Closing Multiple Batches)

Note: If the Batch Control settings were established as mandatory or optional, the *Batch Control* page will appear for each batch, before closing a batch.

7. Click **Next,** after balancing, to proceed to closing the batches (see Figure 66 below).

    Click **Skip** to return to the *Close Batch* page (refer to Figure 65 above), before returning to the *View Batches* page (refer to Figure 64 above). If **Skip** is selected, the **Status** remains **Open** and the batch will not be closed.

Figure 66. Batch Control Setup (Closing Multiple Batches)

8. The *Close Batch* page appears with the batch details. Click **Print PDF Report** and click **Confirm Report Print** to close the batch. The close batch action is not processed until the **Confirm Report Print** is clicked (click Figure 67 below).

Figure 67. Confirm Report Print (Closing Multiple)

9. A *Close Batch* page appears verifying the batch has been closed. Click **Return to the Batch Summary** page (see Figure 68 below).

Figure 68. Close Batch Confirmation (Closing Multiple)

Close a Single or Multiple Batch(es)

To close a <u>single batch</u>, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

3. Select or enter the batch search conditions you would like view.

    Under **Batch Search Conditions**, *optional*
    - Select the **OTC Endpoint** you want to **Close** a batch for by checking the box under the **Select** column
    - Enter the **Batch ID**
    - Enter the **Cashier ID**

    Under **Batch Status**,
    Select the **Status** you want to close by checking the **Open** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.

5. Click the **Batch ID** hyperlink. The *View Checks* page appears.

> **Application Tip**
>
> If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

7. Verify the details are correct and click **Previous** to return to the *View Batches* page.

8. Select the batch you want to close by checking the box to the left of the **Batch ID**.

9. Click **Close Batch**. The *Close Batch* page appears.

10. Verify that you want to close the batch and click **Confirm**. The *Batch Control* page appears with the batch details.

11. Enter the **Batch Control Count** and **Batch Control Amount**, if applicable.

12. Click **Next**. The *Close Batch* page appears.

13. Click the **Print PDF Report** and click **Confirm Report Print** to close the batch.

> ### Application Tip
>
> A batch close is not processed until the **Confirm Report Print** is clicked.

14. A *Close Batch* page appears verifying the batch has been closed.

15. Click **Return to Batch Summary**. The *View Batches* page appears.

16. Click **Cancel** to return to the OTCnet Homepage.

> ### Application Tip
>
> After a batch is closed the Status changes from **Open** to **Closed**. If **Skip** is clicked the **Status** remains **Open** and the batch is not closed.

To close <u>multiple batches</u>, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Close** a batch for by checking the box under the **Select** column
   - Enter the **Batch ID**
   - Enter the **Cashier ID**

   Under **Batch Status**,
   - Select the **Status** you want to close by checking the **Open** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.

5. Click the **Batch ID** hyperlink. The *View Checks* page appears.

> ### Application Tip
>
> If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

7. Verify the details are correct and click **Previous** to return to the *View Batches* page.

(!) **Application Tip**

Repeat steps 5–7 as needed.

---

8. Select the batches you want to close by checking the box to the left of the **Batch IDs**.

9. Click **Close Batch**. The *Close Batch* page appears.

10. Verify that you want to close the batches and click **Confirm**. The *Batch Control* page appears.

11. Enter the **Batch Control Count** and **Batch Control Amount**, if applicable.

12. Click **Next**. The *Close Batch* page appears.

(!) **Application Tip**

Repeat steps 11 and 12 as needed.

---

13. Click the **Print PDF Report** and click **Confirm Report Print** to close the batch.

(!) **Application Tip**

A batch close is not processed until the **Confirm Report Print** is clicked.

---

14. A *Close Batch* page appears verifying the batches(es) have been closed.

15. Click **Return to Batch Summary**. The *View Batches* page appears.

16. Click **Cancel** to return to the OTCnet Homepage.

(!) **Application Tip**

After a batch is closed the Status changes from **Open** to **Closed**. If **Skip** is clicked the **Status** remains **Open** and the batch is not closed.

Topic 11. Approve a Batch

As a **Check Capture Supervisor (CCS)**, you are the only authorized user who, by default, can approve a batch or multiple batches. A Check Capture Operator (CCO) or Lead Operator (CCLO) may also approve a batch if granted the Batch Approver permission. You can only approve batches for **OTC Endpoints** that you have permission to access. Approving a batch(es) indicates that the batch and check details are correct and that the batch(es) is/are ready for upload.

Before you can approve a batch or multiple batches, you must first search for the batch. You can search for batches by **OTC Endpoint**, **Batch ID**, **Cashier ID**, and/or **Batch Status**. If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

Additionally, a batch is only eligible for approval when the batch has a **Closed** status. After a batch is **Approved** it then is considered in **Sent** status. For a description of each of the seven batch status types, refer to Table 4 in the previous section of this Chapter.

Approve a Single Batch

To approve a single batch, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management** (see Figure 69 below).

**Figure 69. Check Processing>Batch Management
(Approving Single)**
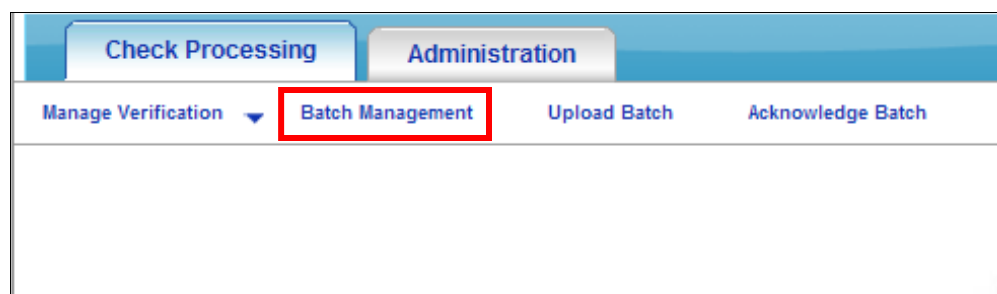
2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search** (see Figure 70 below).

Under **Batch Search Conditions**,
- Select the **OTC Endpoint** you want to **Approve** by checking the check box under the **Select** column
- Enter the **Batch ID**
- Enter the **Cashier ID**

Under **Batch Status**,
- Select the **Status** you want to approve by checking the **Closed** box under the **Select** column

Figure 70. Search Batch Page (Approve Single)

3. The *View Batches* page appears. Click the **Batch ID** hyperlink (see Figure 71 below).

Figure 71. View Batches Page (Approve Single)

Note: If a Check Capture Supervisor (CCS) closes a batch, it is automatically moved into Approved status. If a batch is closed by a Check Capture Operator (CCO) or a Check Capture Lead Operator (CCLO) without approver permission; however, an approve button is available.

4. The *View Checks* page appears. Click the **Item ID** of each scanned check (see Figure 72 below). An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

Figure 72. View Checks Page (Approve Single)

Note: To learn about additional user options from the *View Checks* page (refer to the *Application Tip* on previous page).

5. Select the batch you want to approve by checking the box to the left of the **Batch ID** and click **Approve** (see Figure 73 below).

Figure 73. View Batches (Approve Single)

6. The *Approve Batch* page appears. Verify that you want to approve the batch and click **Confirm** (see Figure 74 below).

Figure 74. Confirm Batches to Approve (Approve Single)

7. The *Approve Batch* page appears with the batch details. Click the **Print PDF Report** and click **Confirm Report Print to Approve** (see Figure 75 below). A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

Figure 75. Confirm Report Print To Approve (Approve Single)

8. An *Approve Batch* page appears verifying the batch has been approved (see Figure 76 below). Click **Return to Batch Summary** to return to *View Batches* page. After a batch is approved the Status changes from **Closed** to **Approved**.

Figure 76. Approve Batch Page (Approve Single)

Approve a Batch in OTCnet Offline

To approve a batch, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

> ## Application Tip
>
> Before you can approve a batch or multiple batches in offline mode, you must first access the **OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

> ## Application Tip
>
> To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green, the terminal is connected to the online OTCnet server. If the Connection Status indicator is red, the terminal is not connected to the online OTCnet server.

3. Select or enter the batch search conditions you would like view.

    Under **Batch Search Conditions**,
    - Select the **OTC Endpoint** you want to **Approve** by checking the check box under the **Select** column
    - Enter the **Batch ID**
    - Enter the **Cashier ID**

    Under **Batch Status**,
    - Select the **Status** you want to approve by checking the **Closed** box under the **Select** column

4. Click **Search**. The *View Batch* page appears.

5. Click the **Batch ID** hyperlink. The *View Checks* page appears.

> ⓘ **Application Tip**
>
> Additional buttons on the page that help you perform other tasks:
> - Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
> - Click **Previous** to return to the previous page.
> - Click **Activate/Deactivate** to activate or deactivate a batch.
> - Click **Close Batches** to close a batch.
> - Click **<<First** to go to the first page. (Only appears if there are several pages retrieved for the search results.)
> - Click **Next>** to go to the next page. (Only appears if there are several pages retrieved for the search results.)
> - Click **Last>>** to return to the last page. (Only appears if there are several pages retrieved for the search results.)
> - Click **<<Image** to return to the previous check.
> - Click **>>Image** to view the next check.
> - Click **Zoom-** to reduce the image size.
> - Click **Zoom+** to enlarge the image size.
> - Click **Rotate Left** to turn the image to the left.
> - Click **Rotate Right** to turn the image to the right.
> - Click **Show Item** to view and update the check item details.
> - Click **Void** to void a single check item.
> - Click **Receipt** to print a receipt.
> - Click **Print Item** to print a batch list report.

6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

7. Verify the details are correct and click **Previous** to return to the *View Batch* page.

8. Select the batch you want to approve by checking the box to the left of the **Batch ID**.

9. Click **Approve**. The *Approve Batch* page appears.

10. Verify that you want to approve the batch and click **Confirm**. The *Approve Batch* page appears with the batch details.

11. Click the **Print PDF Report** and click **Confirm Report Print to Approve**.

> ⓘ **Application Tip**
>
> A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

Approve Multiple Batches

To approve multiple batches, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management** (refer to Figure 77 below).

Figure 77. batch Management (Approve Multiple Batches)
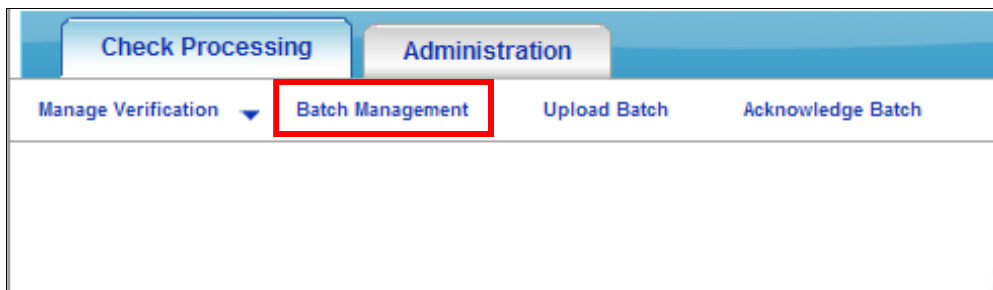
2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search** (see Figure 78 below).

   Under **Batch Search Conditions**,
   - Select the **OTC Endpoint** you want to **Approve** by checking the check box under the **Select** column
   - Enter the **Batch ID**
   - Enter the **Cashier ID**
   Under **Batch Status**,
   - Select the **Status** you want to approve by checking the **Closed** box under the **Select** column

Figure 78. Search Batches (Approve Multiple Batches)

3. The *View Batches* page appears. Click the **Batch ID** hyperlinks for each batch you want to Approve (see Figure 79 below). If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and cannot be accessed.

Figure 79. View Batches Page (Approve Multiple)

4. The *View Checks* page appears. Click the **Item ID** of each scanned check (refer to Figure 72 in previous section). An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

    Note: Repeat this step for each batch you intend to approve.

5. Select the batches you want to approve by checking the box to the left of the **Batch ID** and click **Approve** (see Figure 80 below).

Figure 80. View Batches (Approve Multiple)

6. The *Approve Batch* page appears. Verify that you want to approve the batches and click **Confirm** (see Figure 81 below).

Figure 81. Confirm Batches (Approve Multiple)

7. The *Approve Batch* page appears with the batches details. Click the **Print PDF Report** and click **Confirm Report Print to Approve** (see Figure 82 below). A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

Figure 82. Confirm Report to Approve (Approve Multiple)

8. An *Approve Batch* page appears verifying the batches have been approved. Click **Return to Batch Summary** (see Figure 83 below). After a batch is approved, the Status changes from **Closed** to **Approved**.

Figure 83. Approve Batch Confirmation (Approve Multiple)

Approve Multiple Batches in OTCnet Offline

To approve multiple batches, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

> ### Application Tip
>
> Before you can approve a batch or multiple batches in offline mode, you must first access the **OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

> ### Application Tip
>
> To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green the terminal is connected to the online OTCnet server. If the Connection Status indicator is red the terminal is not connected to the online OTCnet server.

3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**,
   - Select the **OTC Endpoint** you want to **Approve** by checking the check box under the **Select** column
   - Enter the **Batch ID**
   - Enter the **Cashier ID**

   Under **Batch Status**,
   - Select the **Status** you want to approve by checking the **Closed** box(es) under the **Select** column.

4. Click **Search**. The *View Batch* page appears.

5. Click the **Batch ID** hyperlink. The *View Checks* page appears.

6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.
7.

> ### Application Tip
>
> Additional buttons on the page that help you perform other tasks:
> - Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
> - Click **Void All** to void all items in the batch.
> - Click **Print Batch List** to print the batch list.
> - Click **<** to go to the first batch.
> - Click **>** to go to the next batch.
> - Click **<<First** to go to the first page.
> - Click **Next>** to go to the next page.
> - Click **Last>>** to return to the last page.
> - Click **<<Image** to return to the previous check.
> - Click **>>Image** to view the next check.
> - Click **Zoom-** to reduce the image size.
> - Click **Zoom+** to enlarge the image size.
> - Click **Rotate Left** to turn the image to the left.
> - Click **Rotate Right** to turn the image to the right.
> - Click **Show Item** to view the check item details.
> - Click **Void** to void a single check item.
> - Click **Receipt** to print a receipt.
> - Click **Print Item** to print a batch list report.

8. Click **Previous** to return to the *View Batch* page.

9. Select the batches you want to approve by checking the box to the left of the **Batch ID**.

10. Click **Approve**. The *Approve Batch* page appears.

11. Verify that you want to approve the batches and click **Confirm**. The *Approve Batch* page appears with the batches details.

12. Click the **Print PDF Report** and click **Confirm Report Print to Approve**.

> ### Application Tip
>
> A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

13. An *Approve Batch* page appears verifying the batch has been approved.

14. Click **Return to Batch Summary**.

> ### Application Tip
>
> After a batch is approved, its status changes from **Closed** to **Approved**.

Topic 12. Upload a Batch

If you are assigned the role of **Check Capture Supervisor (CCS), Check Capture Lead Operator/Lead Operator (CCO/CCLO)** with **Batch Uploader** privileges you are the only authorized users who can upload a batch or multiple batches in OTCnet Offline. Uploading a batch ensures the batch is closed and processed into the OTCnet Online database. If the batch was already approved in the OTCnet Offline application, it will be forwarded for processing and settlement upon successful upload and acknowledgment. If the batch was closed, but not approved, before it was uploaded to OTCnet Offline, it will be made available for approval in Batch Management of OTCnet Online.

Before you can upload a batch or multiple batches from OTCnet Offline to OTCnet online, you must first access the OTCnet Offline icon on your terminal's desktop (or via your Start Menu under Programs) and enter your User ID and password. Additionally, the secondary storage (configured during Terminal Configuration) must be accessible, and connectivity to the OTCnet Online server is required to upload a batch in Offline mode. Upon selecting Upload Batch and verification of the secondary storage, you will be prompted to enter your online credentials (if you haven't already done so) to establish connectivity to OTCnet Online.

In OTCnet Offline, a **CCS**, or a **CCLO/CCO** with **Batch Uploader** permissions can close and upload batches. When a **CCS** closes a batche(s) in Offline mode, the batch automatically changes to Approved status, and is therefore eligible to upload to OTCnet Online, where it is forwarded for processing. However, when a **CCLO/CCO** with **Batch Uploader** permission closes and uploads a batch, the batch will remain is a Closed status. In this scenario, a **CCS** will need to approve a batch in Batch Management of OTCnet Online. This approach is used when an agency prefers to use the online approval process, and the terminal is configured to allow for uploading batches that have not yet been approved by a **CCS**. Unless granted a **Batch Approver/Batch Uploader** permission as a **CCO** or **CCLO**, approving and uploading batches in offline mode can only be performed by a **CCS**.

Based on the permissions granted, a user will only be able to view the batches that they have been granted access to. If a terminal is configured to allow for uploading batches, and **Supervisor** approval is not required, active batches that are in Closed, Approved, Sent, and Send Error will display. If a terminal is configured to require **Supervisor** approval for the terminal, then only batches with Approved or Send Error status will be displayed and are eligible for upload.

Upload a Batch

To upload a batch, complete the following steps:

1. Click the **Check Processing** tab and then click **Upload Batch** (see Figure 84 below).

Figure 84. Upload Batch
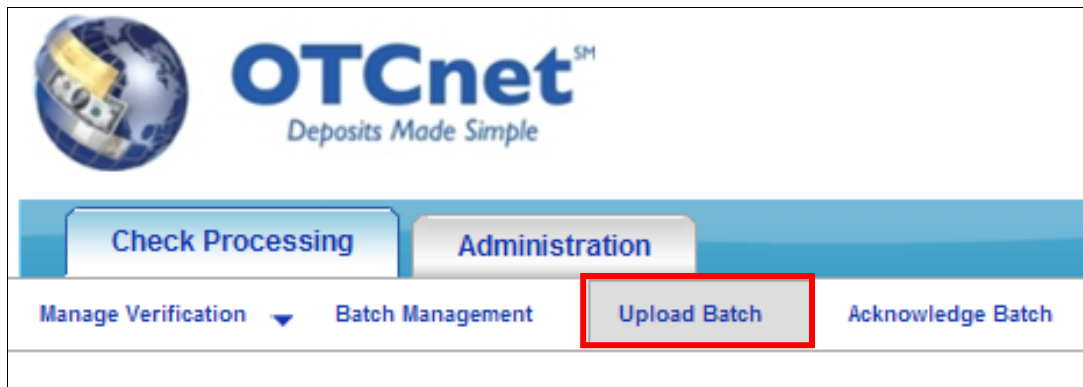
2. When the *Summary of Batches* page appears, select the batches to upload by clicking the check box and then selecting **Upload Batch** (see Figure 85 below).

Figure 85. Upload Batch – Summary of Batches

3. When the *Review Batch(es) to be Uploaded* page appears, verify that the correct batches are in queue to be uploaded and click **Submit** (see Figure 86 below).

Figure 86. Upload Batch – Review Batches to Upload

4. Once the batch upload task has been completed successfully, click **Close** (see Figure 87 below).

Figure 87. Batch Upload Task Completed Successfully

5. The *Upload Batch Confirmation* page appears, verifying that the batch(es) have been successfully uploaded (see Figure 88 below).

Figure 88. Upload Batch Confirmation

Upload a Batch in OTCnet Offline

To upload a batch(es), complete the following steps:

12. Click the **Check Processing** tab.

13. Click **Upload Batch**. An *Online Authentication* dialog box appears.

> **Application Tip**
>
> The *Online Credentials* dialog box appears if connectivity with OTCnet Online has not been established. If connectivity is not established or the correct online credentials are not entered batches cannot be uploaded.

14. Enter **Online Password** (TWAI) and click **Login**, *if applicable*. The *Select Batch(es) to Upload* page appears.

> **Application Tip**
>
> If **Cancel** is clicked batches cannot be uploaded.

15. Select the batch(es) you want to upload by checking the box(es) under the **Select** column.

16. Click **Upload Batch**. The *Review the Batch(es) to be Uploaded* page appears.

17. Verify that you want to upload the batch(es) and click **Submit**. The *Batch Upload* dialog box appears.

18. Click **Close**. The *Upload Batch Confirmation* page appears with the batch details of which batches successfully/failed to uploaded.

> **Application Tip**
>
> It is highly recommended that the **Cancel** button is not clicked instead wait for the **Close** button to ensure the batch is successfully uploaded.

> **Application Tip**
>
> Additional button on the page that help you perform other tasks:
> - Click **Return Home** to the OTCnet Home Page.

Topic 13. Acknowledge a Batch

If you are assigned the role of **Check Capture Supervisor (CCS), Check Capture Operator/Lead Operator (CCO/CCLO),** or **Check Capture Operator (CCO)** with **Batch Uploader** privileges you are the only authorized users who have access to the Acknowledge Batch task in OTCnet Offline. Active batches that are in Sent, Acknowledge Error (ACK ERROR (Closed)) and Acknowledge Error (ACK ERROR (APPROVE)) state display on the *Summary of Batches* page.

Acknowledging a batch allows you to request confirmation from the OTCnet Online application that the batch transmission was successfully received and processed into the online database, where it will be available in Batch Management for Approval (if batch is Closed) or forwarded for processing (if the batch is Approved already).

Before you can acknowledge a batch or multiple batches in OTCnet Offline, you must first access the Start OTCnet Offline icon on your terminal's desktop or access your Start Menu under Programs and enter your User ID and password. Your secondary storage (configured during Terminal Configuration) must be accessible. Additionally, connectivity to OTCnet Online is required to acknowledge a batch in OTCnet Offline. Upon selecting Upload Batch, you will be prompted to enter in your Online Credentials (if you haven't already done so) to establish connectivity to OTCnet Online.

Acknowledge a Batch Offline

To acknowledge a batch Offline, complete the following steps:

1. Click the **Check Processing** tab and then click **Acknowledge Batch** (see Figure 89 below).

Figure 89. Acknowledge Batch
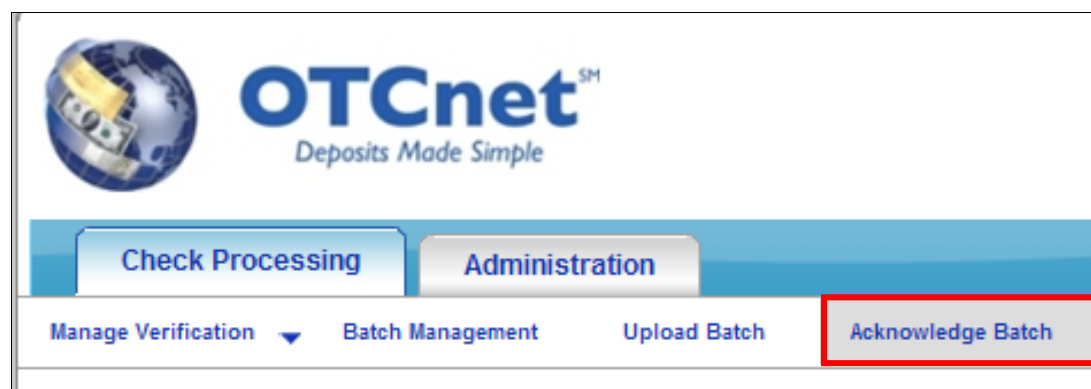
2. Once the *Select Batches to Acknowledge* page appears, select the batches to acknowledge by clicking the corresponding check box and then click **Acknowledge** (see Figure 90 below).

Figure 90. Select Batches to Acknowledge

3. When the *Review the Batch(es) to be Acknowledged* page appears, verify the correct batches are in queue to be acknowledged and then click **Submit** (see Figure 91 below).

Figure 91. Review the Batch (es) to be Acknowledged

4. After the batch acknowledgement task has been successfully completed, click **Close** (see Figure 92 below).

Figure 92. Activate/Deactivate Batch

5. A Confirmation page appears, verifying that the batch(es) has been successfully acknowledged (see Figure 93 below)

Figure 93. Acknowledge Batch Confirmation

Acknowledge a Batch in OTCnet Offline

To acknowledge batch(es), complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Acknowledge Batch**. The *Summary of Batch(es) to Acknowledge* page appears.

> **Application Tip**
>
> Before you can acknowledge batch(es) in OTCnet Offline, you must first access the **Start OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

> **Application Tip**
>
> To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green, the terminal is connected to the online OTCnet server. If the Connection Status indicator is red, the terminal is not connected to the online OTCnet server.

3. Select the batch(es) you want to acknowledge by checking the box(es) under the **Select** column.

4. Click **Acknowledge Batch**. The *Review the Batch(es) to be Acknowledged* page appears.

5. Verify that you want to receive acknowledgement for the selected batch(es) and click **Submit**. The *Batch Acknowledgement* dialog box appears.

6. Click **Close**. The *Acknowledge Batch Confirmation* page appears with the batch details of which batches successfully/failed to receive acknowledgement.

Topic 14. Print a Receipt

Receipts are available for printing if the **Check Capture Administrator** configures the terminal beforehand in OTCnet. If your agency requires a specific receipt layout, contact your Deployment Specialist at fms.otcdeployment@citi.com or 703-377-5586. All receipts are printed in PDF format, as well as saved or attached to a new email message.

After the terminal is configured, **Check Capture Operators**, **Check Capture Lead Operators,** and **Check Capture Supervisors** can print a receipt in single mode or batch mode through the **Check Scan** and **Batch Management** functionality, as well as via the **Show Item** to print a receipt. Receipts are available for printing in OTCnet after the operators enter and save the pertinent details and can be either handed to or mailed to the customer.

Receipt Printing from Check Scan (Singe/Batch Mode)

To print a receipt from batch management, complete the following steps:

1. Scan the check, input, and save the pertinent details.

2. Under **Scan Controls**, click **Receipt**. A *Printing…Please wait* message appears and the receipt prints to the default printer.

    Note: You have *eight* seconds to click the **Receipt** button. If the **Receipt** button is not clicked within the allotted time, the button grays out. If a receipt is still needed, access the **Batch Management** function (see Figure 94 below).

Figure 94. Receipt Print Image (Scan Check)

3. The receipt appears. Click **Print** to print the receipt and close the receipt (see Figure 95 below).

Figure 95. Print Receipt
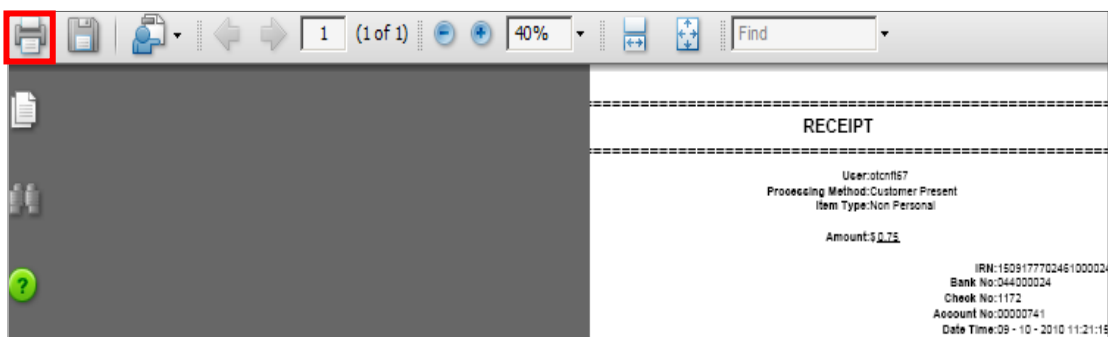
Note: If you are printing a receipt in batch mode repeat steps 1-5 until finished.

Receipt Printing from Batch Management (Singe/Batch Mode)

To print a receipt from batch management, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management** (see Figure 96 below).

Figure 96. Batch Management (Receipt)
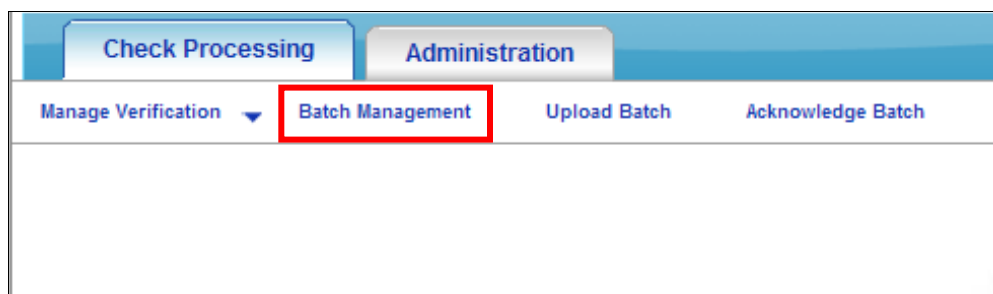
2. Select or enter the batch search conditions you would like view and click **Search** (see Figure 97 below).

   If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to print a receipt for by checking the check box(es) under the **Select** column
   - Enter the **Batch ID**
   - Enter the **Cashier ID**

Under **Batch Status**, *optional*
- Select the **Status** you want to approve by checking the **Closed** box under the **Select** column

If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

Figure 97. Search Batch (Receipt)

3. The *View Batch* page appears. Click the **Batch ID** hyperlink (see Figure 98 below). If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 98. View Batches (Receipt)

4. The *View Checks* page appears. Click the **Item ID** of each scanned check and click Receipt. An image of the check and details of the check appear in the window (see Figure 99 below).

Figure 99. View Checks Page (Receipt)

Note: Click **Show Item** to view more details about the check.

5. The receipt appears. Click **Print** to print the receipt and close the receipt window (see Figure 100 below).

Figure 100. Print Receipt
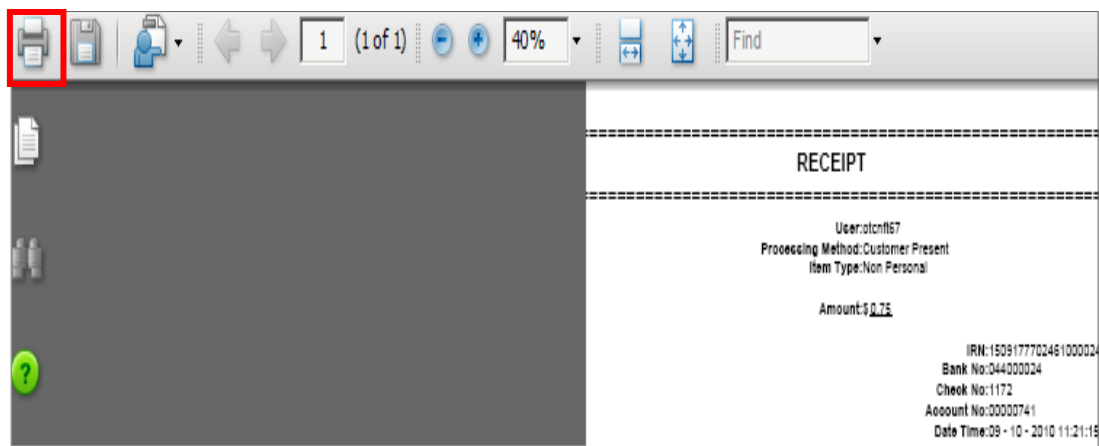
👤💬 **Print a Receipt**

To print a receipt from <u>*Check Scan*</u> functionality, complete the following steps:

Single Mode

1. Scan the check, input, and save the pertinent details.

2. Under **Scan Controls**, click **Receipt**. A *Printing…Please wait* message appears and the receipt prints to the default printer.

> ⓘ **Application Tip**
>
> You have eight seconds to click the **Receipt** button. If the **Receipt** button is not clicked within the allotted time, the button grays out. If a receipt is still needed, access the Batch Management function.

3. Click **Receipt**. The receipt appears*.*

4. Click **Print** to print the receipt.

5. Click **Close** to close the receipt.

> ⓘ **Application Tip**
>
> If you are printing a receipt in batch mode repeat steps 1-5 until finished .

To print a receipt from <u>*Batch Management*</u> functionality, complete the following steps:

Batch Mode

1. Click the **Check Processing** tab and click **Batch Management**.

2. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to print a receipt for by checking the check box(es) under the **Select** column
   - Enter the **Batch ID**
   - Enter the **Cashier ID**

Under **Batch Status**, *optional*
   - Select the **Status** you want to approve by checking the **Closed** box under the **Select** column

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ⓘ **Application Tip**

If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

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3. Click **Search**. The *View Batch* page appears.

4. Click the **Batch ID** hyperlink. The *View Checks* page appears.

ⓘ **Application Tip**

If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

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5. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

6. Click **Receipt**. The receipt appears.

7. Click **Print** to print the receipt.

8. Click **Close** to close the receipt.

ⓘ **Application Tip**

Click **Show Item** to view more details about the check. Under **Server Controls**, click **Receipt** to print the receipt.

Summary

In this chapter, you learned:

- The purpose of capturing and managing checks offline

- How to capture a check offline

- How to manage failed image quality

- How to resolve a duplicate check

- How to void a check

- How to override a Master Verification Record (MVD) Record

- How to perform batch control and batch balancing

- How to view and print a batch list / item

- How to activate/deactivate a batch

- How to close a batch

- How to approve a batch

- How to upload a batch

- How to acknowledge a batch

- How to print a receipt

In the next chapter, you will learn how to correct scanned checks.

Notes

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Glossary

A

Access Groups by Users Report - This report displays the roles and the corresponding access groups of the role for a particular OTCnet user. The role assigns the permissions (functions/features) that a user has access to in OTCnet. The access group governs the OTC Endpoint(s) and the data that a user has permission to access.

Account Key - The account number assigned to a deposit when it is submitted to FRB CA$HLINK.

Accounting Code - A unique agency classification code assigned to a transaction. Identifies the FRB Account Key that is used within the Federal Reserve. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CA$HLINK II CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

Accounting Code Description - A brief explanation that provides further detail about an accounting code.

Accounting Code Name - The title of the accounting code.

Accounting Specialist - A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet.

Acknowledged Batch Status – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

Acknowledged Error Batch Status – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which results in a batch being updated to Acknowledgment Error.

Activity Type - The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

Adjustment Activity (FI) Report - A business report that allows you to view adjustments made by your financial institution (FI).

Adjustment Activity (FRB) Report - A business report that allows you view adjustments made by your Federal Reserve Bank (FRB).

Adjustments by OTC Endpoints Report - A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or

Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

Agency CIRA Report - A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

Agency Contact - A person designated by an agency as the primary contact regarding deposit-related matters.

Agency Information - The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

Agency Location Code (ALC) - A numeric symbol identifying the agency accounting and/or reporting office.

Agency Location Code plus 2 (ALC+2) - A numeric symbol identifying the agency accounting and/or reporting office.

Agency Manager - A user that has authorization to view and download CIRA records and view reports.

Alternate Agency Contact – A person designated by an agency as the secondary contact regarding deposit-related matters.

American Bankers Association (ABA) - (also known as **Bank Routing Number**) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

Approved Batch Status - Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

Audit Log - A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a *comma separated value report (CSV)* and opened in a spreadsheet program or available to print in a formatted audit log report.

Automated Clearing House - A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

Awaiting Approval (AWAP) - A deposit that is waiting for deposit confirmation by a Deposit Approver.

B

Back Office Processing Method - Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

Batch - A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

Batch Approver - An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

Batch Control/Batch Balancing - An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

Batch ID - The unique number assigned to a batch by OTCnet.

Batch List Report - A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

Batch Status - Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

Batch Uploader - An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

Blocked - A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

C

CA$HLINK II - An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

CA$HLINK II Account Number (CAN) - The account number assigned to a deposit when it is submitted to CA$HLINK II.

Capture Date - The calendar date and time the payment is processed by the agency.

Cashier ID - The ID of the user that created the transaction.

Central Image and Research Archive (CIRA) - The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

Characteristics - The properties of a user, organization, deposit, or financial institution.

Check 21 - Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

Check Amount - The dollar amount of the check.

Check Capture – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

Check Capture Administrator - An agency user that has the authorization to define and modify the check capture sites; to configure Check Capture functions and perform upgrades of the application; to download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission.

Check Capture Lead Operator - An agency user that has the authorization to in scan checks into a batch, close a batch, balance check amounts and enter batch control values during batch closing. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

Check Capture Offline – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders.   The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

Check Capture Online – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and

money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

Check Capture Operator - An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch and close a batch. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

Check Capture Supervisor - An agency user that has the authorization to perform all the functions on the Check Capture. The user has authorization to accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality.

Check Number - The printed number of the check writer's check.

CIRA CSV Report - A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

CIRA Viewer - A user that has authorization to view CIRA records and download CSV files.

Clear - Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

Closed Batch Status - Indicates the batch is closed and no new checks may be scanned into that batch.

Comma Separated Values (CSV) - A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

Confirmed - A deposit that has been reviewed and then confirmed by a financial institution or FRB.

Cost Center Work Unit (CCWU) – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

Custom Label - Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

Customer Not Present Processing Method - The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

Customer Present Processing Method - The processing method used in the OTCnet when the check writer is presenting the check in person.

D

Daily Voucher Report - A business report that allows you to view the daily voucher extract.

Data Type - The type of data that should be entered for a user defined field.

Date of Deposit - The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

Debit Gateway - The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

Demand Deposit Account (DDA) - The account at a financial institution where an organization deposits collections.

Denied - Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

Deny Date - Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

Deposit - A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

Deposit Activity (FI) Report - A business report that allows the financial institution to view deposits submitted to its location.

Deposit Activity (FRB) Report - A business report that allows you to view deposits submitted to your FRB.

Deposit Approver - A user who has authorization to review and submit deposits to a financial institution.

Deposit Confirmer - A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

Deposit History by Status Report - A business report that allows you to view deposits by status.

Deposit Information - The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

Deposit Preparer - A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

Deposit Total - The total amount of over-the-counter receipts included in the deposit.

Deposits by Accounting Code Report - A business report that allows you to view deposits by accounting code.

Deposits by OTC Endpoint Report - A business report that allows you to view deposits by OTC Endpoint.

Display Order Number - The order in which user defined fields (UDFs) should be displayed.

Draft - A deposit that is saved for modification at a later date by a Deposit Preparer.

F

Failed - The item was unable to be processed and/or settled by Treasury/FMS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

Federal Program Agency - A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

Federal Reserve Bank (FRB) - A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

Federal Reserve Bank-Cleveland (FRB-C) - Partners with FMS to manage the OTCnet application. Responsible for check clearing, deployment, training, project management and customer service.

Federal Reserve System's Automated Clearing House (ACH) System - Enables debits and credits to be sent electronically between depository financial institutions.

Financial Institution (FI) - A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be

deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

Financial Institution Information - The name, address, routing transit number, and the demand deposit account number of a financial institution.

Financial Management Service (FMS) - The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

Firmware - A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

Fiscal Year - A 12-month period for which an organization plans the use of its funds.

FMS Statistical Report - A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is available for 15 rolling days.

Forwarded Batch Status - Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

Franker - An internal stamp unit that stamps a check with "Electronically Processed" after the check is processed and scanned. Franker availability is based on the model of your scanner.

Franking - The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

H

Highest Level Organization - The primary level of the organization hierarchy.

I

IBM Tivoli Identity Manager (ITIM) - Refers to FMS's Enterprise provisioning tool for user account and identity management.

Individual Reference Number (IRN) - The auto-generated unique number used in OTCnet to identify Check Capture transactions.

Input Length Maximum - The maximum number of characters that may be entered in a user defined field.

Input Length Minimum - The minimum number of characters that may be entered in a user defined field.

Internal Control Number - A customizable field for agency use to further describe a deposit.

Item Detail Report - A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

Item Type - Indicates whether the check presented is a personal or business check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal).

L

Local Accounting Specialist - A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish and maintain the organizational structure, accounting code mappings to individual endpoints and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

Local Security Administrator (LSA) - An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

Local Verification Database (LVD) - A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

Lower Level Organization - Any organization created below the highest level organization.

LVD Contents Report - A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

M

Magnetic Ink Character Recognition (MICR) - Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

 Master Verification Database (MVD) - It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD

provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

 MVD Editor - A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions.

MVD Viewer - A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions.

N

Non-Personal Item Type - Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

Non-Reporting OTC Endpoints Report - A business report that allows you to view OTC Endpoints that have not reported a deposit.

O

Open Batch Status - Indicates the batch is open and accepting new checks.

Organization - The location or level within a Federal Program agency.

Organization Hierarchy - The structure of a Federal Program agency as defined in OTCnet.

Organization Hierarchy Report - A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

OTC Collections - Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

OTC Endpoint - The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

OTC Endpoint (CHK) - The endpoint (location) setup in OTCnet to use check capture.

OTC Endpoint (TGA) - The endpoint (location) setup in OTCnet to use Deposit Reporting.

OTC Endpoint Mapping - The assignment of accounting codes to an agency's OTC Endpoint, for which a deposit amount can be allocated.

OTCnet Offline - Refers to the over the counter application that provides Check Capture functionality to end users with limited internet activity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

OTCnet Online - Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet activity).

Over the Counter Channel Application (OTCnet) - Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

P

Personal Item Type - Indicates that the name on check is an individual's name, not acting as a business.

Primary Local Security Administrator (PLSA) - An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

Processing Options - User-defined parameters for the deposit and adjustment processes.

Processing Options by OTC Endpoints Report - A business report that allows you to view processing options defined for endpoints within the organization.

Q

Queue Interface – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

R

Received - The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

Received Date - The date the check was received by web-based OTCnet.

Rejected - A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

Represented - This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

Retired - This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

Return Reason Codes - Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

Return Settlement Date - The effective date of settlement of the returned check item.

Returned Item - A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

Routing Transit Number (RTN) - (also known as **American Bankers Association (ABA) Number or Bank Routing Number**) - The nine-digit number used to identify a financial institution.

S

Save as Draft - An option that allows a Deposit Preparer to save a deposit for modification at a later date.

Save for Approval - An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

Send Error Batch Status – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

Sent Batch Status – Indicates the batch was uploaded online without error.

Separation of Duties - A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

Settle Best Method - The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

Settled - This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

Settlement Date - The date the deposit is credited to the Treasury General Account.

SF215 Deposit Ticket Report - The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is available in OTCnet for 45 calendar days.

SF5515 Debit Voucher Report - The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is available in OTCnet for 45 calendar days.

Short Name/Code - The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

Submit - An option that allows a Deposit Approver to submit a deposit to a financial institution.

Submitted - A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

Suspend - Indicates that an individual's record is set to a predetermined suspension period. During this time, OTCnet prevents an individual from processing a check through OTCnet. The individual's database record has a Trade Status of Suspend and the expiration date is set until a specific date.

T

Terminal ID - The unique number assigned to the workstation where a user performs functions in OTCnet.

Trade Status - Represents the status of the verification records. There are four 4 possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

Transaction History - Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

Transaction Reporting System (TRS) - A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

Treasury Account Symbol (TAS) - The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

U

Universal Serial Bus (USB) - A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

US Dollar Equivalent (USE) - The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

US Treasury - The executive department and the Treasury of the United States federal government.

User Defined Field (UDF) - A user-defined text that describes deposit activity or deposit accounting activity.

User Information Report - A security report allows that you to view a user's contact information.

Users by Access Group (FI) Report - A security report that allows you to view users by financial institution.

Users by Access Group (FPA) Report - A security report that allows you to view users by OTC Endpoint.

Users by Role (FI) Report - A security report that allows you to view users by role for your financial institution.

Users by Role (FPA) Report - A security report that allows you to view users by role for your OTC Endpoint.

V

View CA$HLINK II File Status Report - An administration report that allows you to view the status of deposit report files that have been processed by CA$HLINK II or are ready for CA$HLINK II to process.

View FRB CA$HLINK File Status Report - An administration report allows you to view the status of deposit files that have been sent to FRB CA$HLINK.

View TRS File Status Report - An administration report allows you to view the status of TRS files that have been processed by Transaction Reporting System (TRS) or are ready for TRS to process.

View Vouchers Completed Report - An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

View Vouchers in Progress Report - An administration report allows you to view the status of deposit and adjustment vouchers in progress.

Viewer - A user who has authorization to view OTCnet information and produce reports from it.

Voucher Date - The financial institution business date a deposit will be presented or the calendar date the deposit will be mailed to the financial institution.

Voucher Number - The number assigned to a deposit by OTCnet.

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